Oyster Solutions

OYSTER®
SOLUTIONS, LLC

One Central Compliance Platform

Designed by Industry Experts

WE CREATE SIMPLICITY IN A COMPLEX ENVIRONMENT

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Oyster Solutions turns the complex mix of regulation and internal controls into one efficient, easy-to-use platform. Built by industry professionals, the Oyster Solutions platform is flexible, configurable, scalable, and secure.

Oyster Solutions software provides visibility, tracking and scheduling for your firm's risks, policies, procedures, tasks, regulations, trade monitoring, portfolio monitoring and mutual fund suitability. Your trade reporting, FINRA reporting and compliant documentation are all in one central location. Oyster Solutions can also integrate data feeds from back-office platforms, CRMs, aggregators, and order management systems through APIs and batch processes to create efficiency.

Leverage Oyster Solutions to analyze and organize data into information your firm can use, so you can provide your clients with the best service.

MODERNIZE YOUR COMPLIANCE PROGRAM

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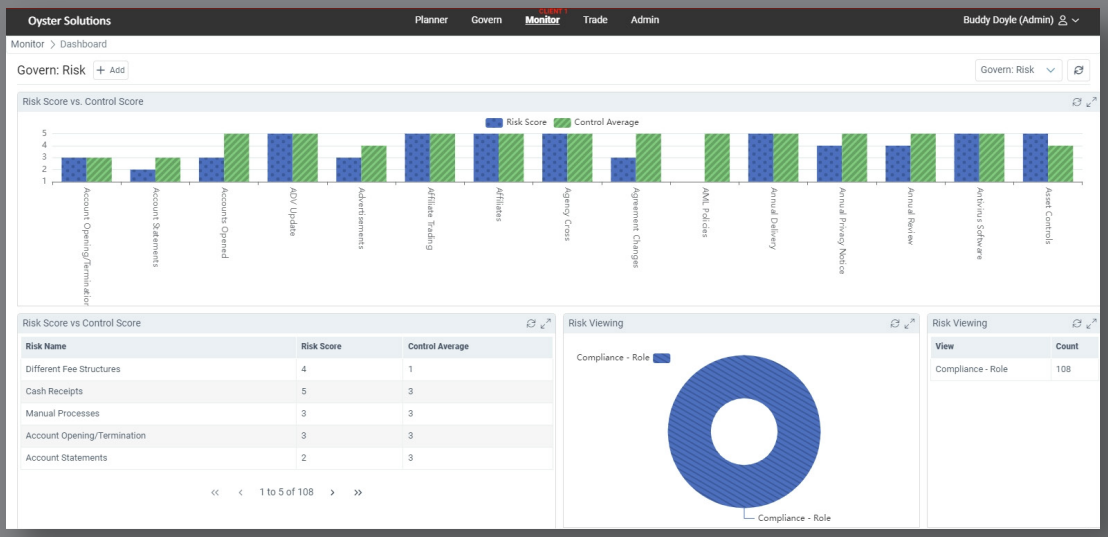
It's time to ditch the spreadsheets and focus your team

Today's industry demands an efficient and effective compliance program to protect your firm and your clients. Investing in GRC software allows you to do your job efficiently, effectively and have time to look at the bigger picture.

Technology advances are creating new opportunities and risks. Regulators continue to expand regulatory requirements and their use of big data. Having an inventory of key risks and understanding the performance of your controls helps you protect your firm and your clients.



Respond to change with agility and confidence.

The Oyster Solutions platform's flexibility allows continuous improvement to your firm's operational controls, supervisory processes, and testing. Oyster Solutions integrates data and automation across multiple lines of business, products, regulatory requirements, and organizational structures.

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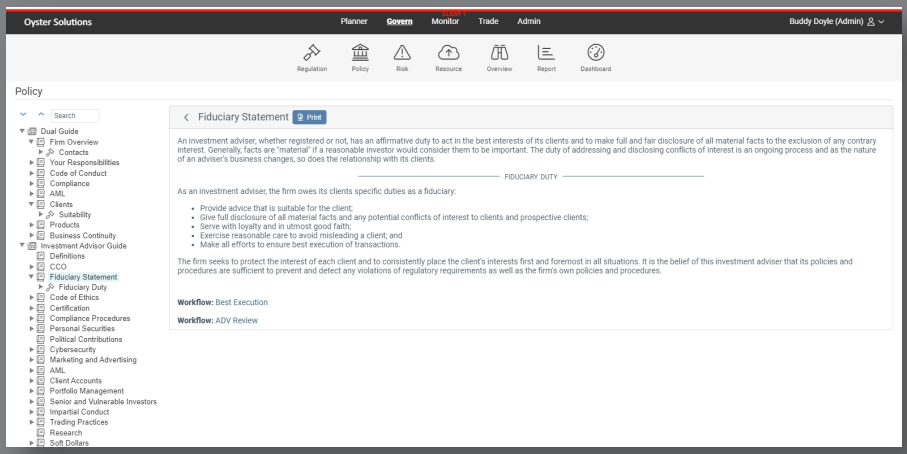
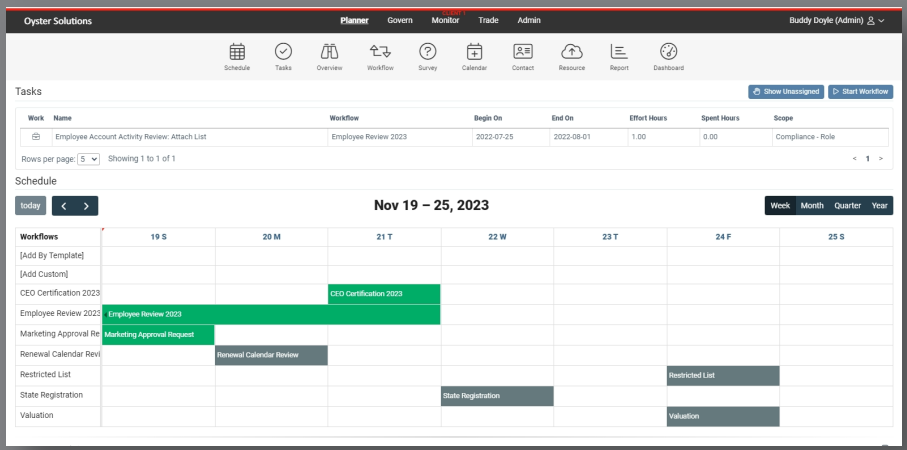
Oyster Solutions' powerful integration and automation provide the accurate supervision and reporting structure regulators demand, and a streamlined experience for your employees.

No matter the employee's role, they see only the regulations, policies and tasks that they need for their job.



When your employees log in, they will immediately see the compliance calendar and the tasks they need to do. To start a process workflow, such as recording a gift, it's as easy as clicking on the Start Workflow Button. The employee starts the workflow and a new task appears for them, so they can get right to work.



THE RIGHT GRC SOLUTION FOR YOU

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Broker-Dealers

We understand the complexity of running a broker-dealer. Oyster Solutions helps broker-dealers solve for some of the most complex regulatory requirements: suitability, Reg BI, CAT reporting and breakpoint/share class requirements.

Automated workflows allow your employees to do their tasks efficiently and consistently, including branch exams, Rule 3120 and AML requirements. Default alerts get you up and running quickly. Alerts can also be configured to your firm's lines of business and are sent to the right employees at the right time – focusing your firm on issues while eliminating the noise.

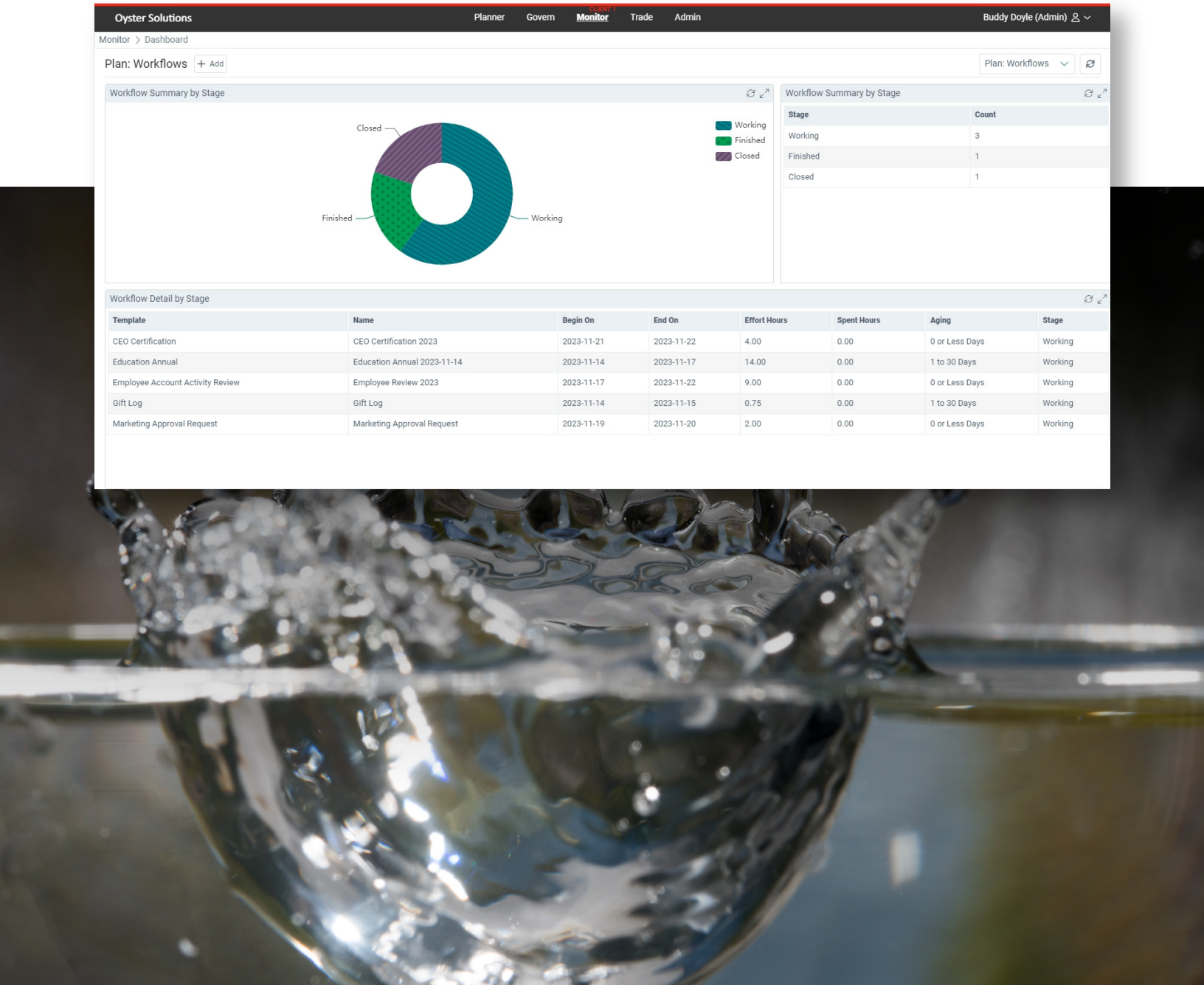
RIAs

Oyster Solutions integrates the governance, risk and compliance components of multiple lines of business into one platform. Your firm's leadership have a holistic view of what is happening, how you are mitigating risks and eliminating conflicts. Automated workflows and configurable alerts built into the platform send tasks, reminders, and attestations to the employees in your organization that need to see them or perform the work.

Oyster Solutions houses your risks, policies, procedures, calendar, and employee trade monitoring in one platform, right at your fingertips.

Easy to understand reports and dashboards let you see the information you need to prioritize your work and keep your team on track.

You'll know which workflows and tasks are on track so you can keep your projects moving.



PROTECT YOUR FIRM, YOUR EMPLOYEES AND YOUR CLIENTS

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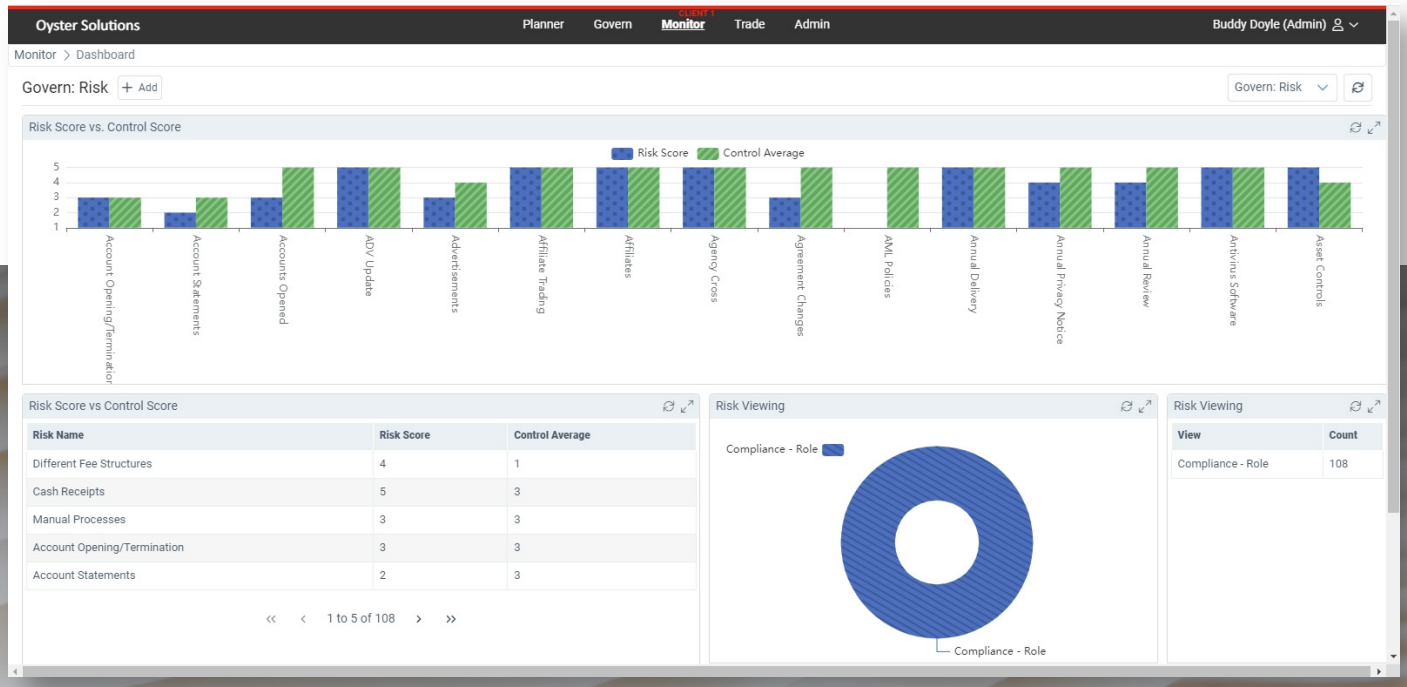
One Platform – Many Lines of Defense

Risk reports show which risks have sufficient controls, tailored to your firm's lines of business, products and risk tolerance.

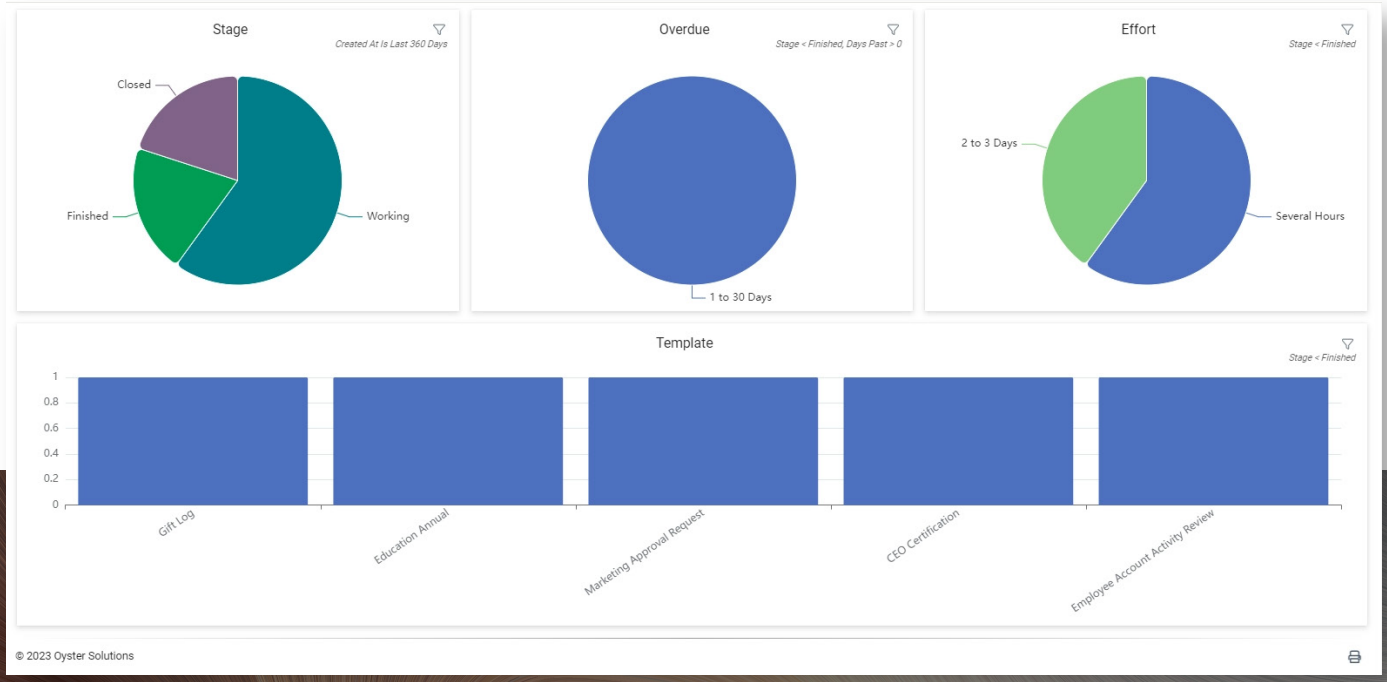
Identify

Inventory and categorize your risks and conflicts using the Risk Assessment module. Define the mitigating internal controls with procedures tied to your compliance calendar and custom workflows, ensuring consistency and appropriate supervision.



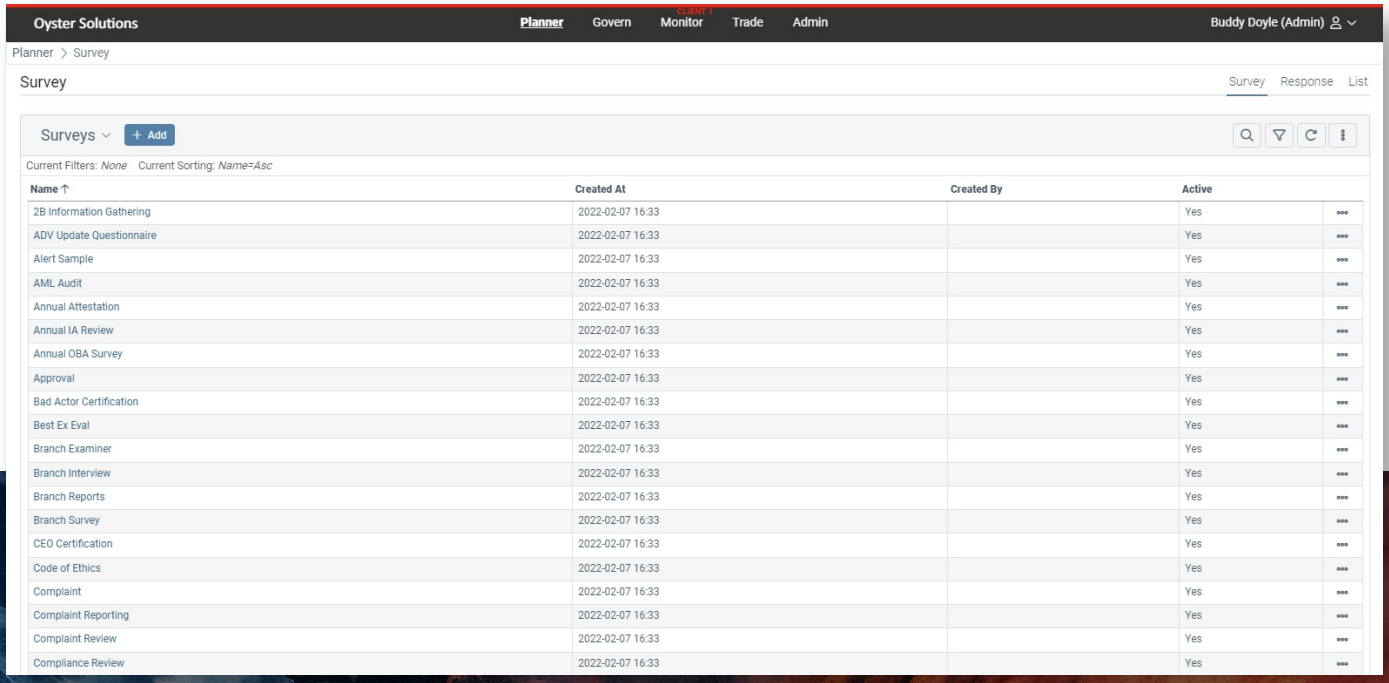
Accountability

Oversee the implementation of your procedures in the same platform using role-based entitlements to segregate controls, and dashboards and reports to see the big picture.



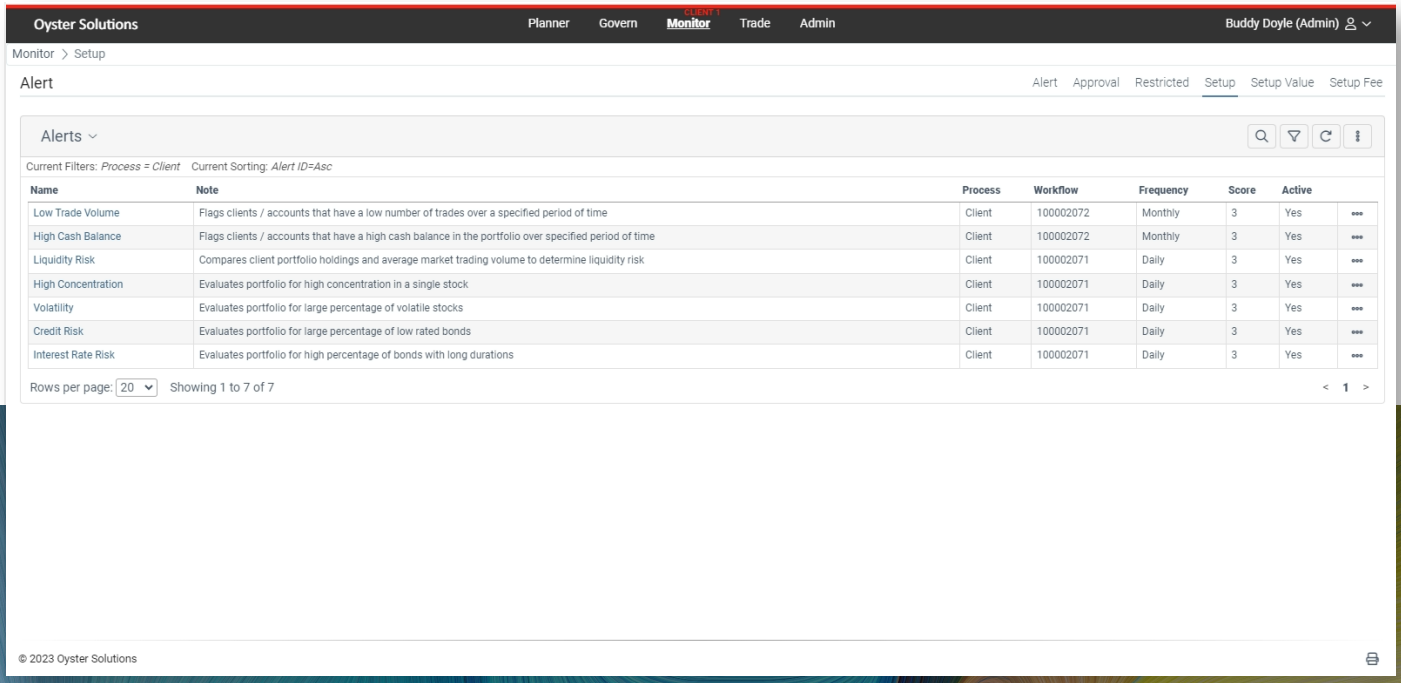
Assurance

Define, implement and document your testing and verification procedures with risk-based control questionnaires and a repository for documentation.



Integration and visibility are key components of effective, modern compliance program. What if you had one place to monitor activity at the employee and account level? A place where you see activity at an account, household rep and firm level? What if you could ingest data from your clearing firms and custodians, and aggregate information across back-office systems with one view?

Oyster Solutions provides these functions, and more.

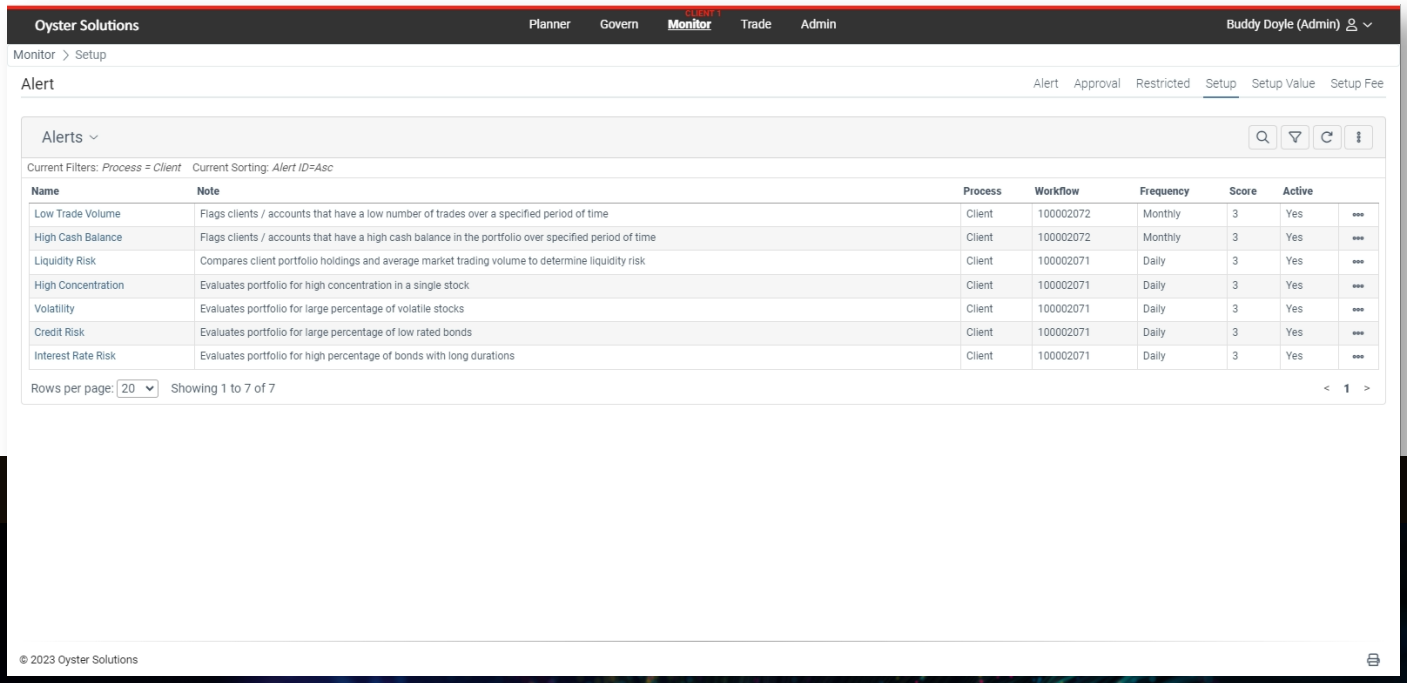


Meet some of our industry's toughest challenges:

- *Reg BI*
- *Suitability*
- *Conflicts of Interest*
- Best Execution
- Matching client funds to investment desires
- Consolidated Audit Trail
- Reporting Finra Exam Reporting and MSRB

Alerts Engine

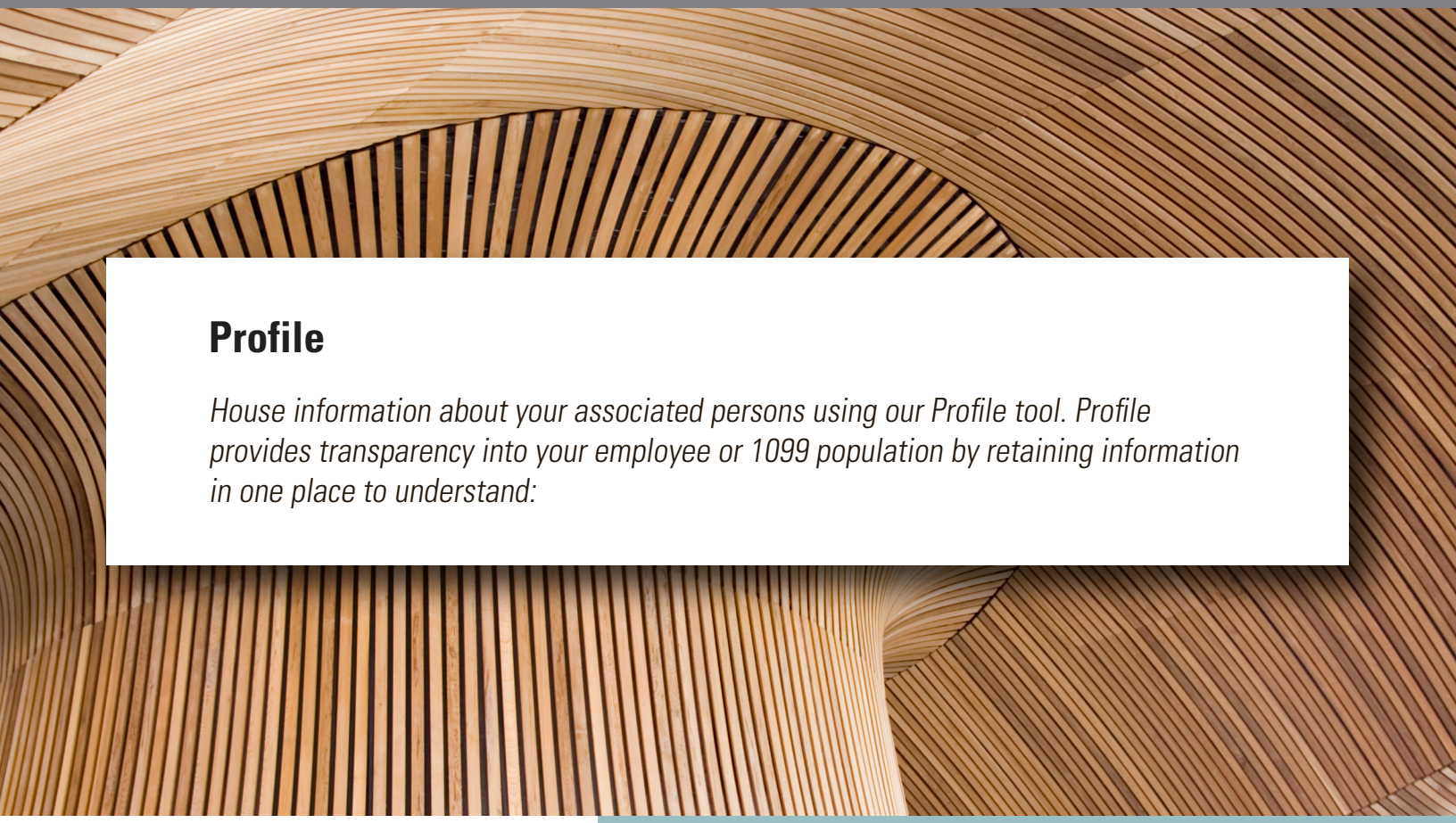
Configuring the Oyster Solutions alert engine to your specifications allows you to monitor for potential exceptions and get ahead of issues by comparing transactions, positions, and fees to your client profile. Determine the frequency, severity, and parameters of your alerts using our online tools to keep your compliance program tuned up and ready for today's markets.



> Having a centralized location for reporting and record keeping will increase accountability for all users. This is an exciting time for our firm and having Oyster Solutions will enhance our readiness for both internal and external examinations/inspection.
>
> Broker-Dealer, Current Oyster Solutions Client

Monitor accounts or households for hot button issues like:

- *Account/Client Fees*
- *CDSCs*
- *Cherry Picking*
- *Employee Conflicts*
- *Concentration*
- Interest Rate Risk
- Liquidity
- Switching
- Trading Activity/Inactivity
- Volatility



Profile

House information about your associated persons using our Profile tool. Profile provides transparency into your employee or 1099 population by retaining information in one place to understand:

- Employee Type
- Supervisory Hierarchy
- Succession Plans
- BCP Contact Information
- Licensing and Appointments
- Outside Business Activities
- Complaints
- Entitlements
- Firm Equipment
- Personal Equipment

Having a centralized location for reporting and record keeping will increase accountability for all users. This is an exciting time for our firm and having Oyster Solutions will enhance our readiness for both internal and external examinations/inspection.

Current Oyster Solutions Client

Leverage the Fund Analyzer to ingest household assets, time horizons, investment objectives and risk tolerance, as well as provide recommendations and reasonable alternatives based on the analyzed data.

Fund Analyzer

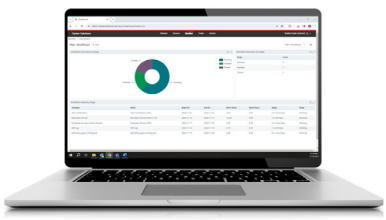
Get ahead of compliance with pre-trade tools to ensure your Reps select the low-cost/high return share class options. Oyster Solutions helps identify funds that align with your client's investment profile to select the right fit at the best price. The Selection Wizard helps you identify funds by:

- Objective
- Equity Sector
- Fixed Income Type/Sector
- Risk
- Maturity

The Selection Wizard then uses the client's time horizon, portfolio holdings, and account type to find the appropriate share class when displaying the prioritized results of your search.

Documentation of compliance with Reg BI can be achieved by using the reports from the Oyster Solutions Fund Analyzer.

SPOTLIGHT



The information you need, available on your laptop, smartphone and iPad.

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Consolidated Audit Trail Reporting

The CAT module allows rapid individual and bulk repairs that cannot be done through the FINRA CAT Portal. Graphic and sequential displays of data enable quick searching, sorting and filtering. Quick changes to your customized application avoid procurement and reporting delays.

The CAIS Module

The CAIS module can be used independent of Oyster Solution's CAT Application to view CAIS reports and the underlying source data in a single platform. This module allows firms to better prepare for Full CAIS reporting through the Interim Reporting Obligation. This module uses web-based GUI that provides firms with practical data so users can efficiently identify, monitor, and manage errors which may impact their reports.

INTEGRATE
Integrates CAT reporting events, error analysis and validation data into a central program

IDENTIFY
Errors, linkage and gaps between vendor data and CAT reported data are identified

INTELLIGENCE
Graphic and sequential displays of data enables quick searching, sorting and filtering

REPAIR
Enables rapid individual and bulk repairs that cannot be done through the FINRA CAT Portal

REPORT
Generates event and repair files ready for submission to FINRA CAT

We create simplicity in a complex environment

Our experts share their industry experience and provide the technical know-how, putting guidance into action.

Let Oyster help you define your goals and how to get there. From strategy to execution, Oyster Consulting keeps your firm ready for the future while excelling in the present.

Watch Our Short On-demand Demo Now

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