



by Paragon Data Labs

Modern Employee Compliance built to save time by streamlining reviews, monitoring, and reporting



Paragon is a centralized platform for Code of Ethics monitoring built to create efficiencies and eliminate manual workflow. Paragon automates the important, yet tedious and time-consuming processes so compliance teams can focus on higher priority responsibilities.

Broker Data Feed Set up and Management

- Broker feeds are set up and managed by Paragon
- **3,000+** Direct and API-based broker feeds
- Automated feeds are cleansed, normalized, and enriched into a standard schema for trouble-free review of datasets from different broker sources

Fully Configurable Workflow

- Define **exception-based workflows** based on specific disclosure or policy
- Create an effective, standardized review process reducing missed tasks
- Role-based access control to contain sensitive information

Advanced Data Review and Reporting Capabilities

- **On-the-fly reporting** capabilities for management and investors
- Built-in data transformation to help you identify employee patterns
- Limit manual exports to create visualizations (e.g. graphs, charts)

Automation and Integration

- Integration into firm's technology ecosystem such as HR and trading systems
- Provide quicker decisions and **instant status updates to employees**
- Maintain restricted/watch list to place trades in auto-deny or in-review status

Full Service Implementation

- Partner with an implementation manager that will lead and handle the migration efforts **reducing the need for internal time and resources**
- Hands-on migration of legacy data to Paragon
- Dedicated test environment to ensure Paragon looks and works the way you want it to for your firm

Enhanced End-to-End User Experience

- Employees have **clear direction** on required fields for disclosures
- Notification of review decision through platform, email, or firm's preferred messaging system

A cloud-based Code of Ethics platform developed to strengthen and enhance compliance programs for financial firms

Personal Trade Oversight

- Pre-clear employee personal trades
- Trade matching against executed trades and pre-cleared trades
- Material Non-Public Information (MNPI) management under watch and restricted lists
- Trade surveillance based on rules engine specified by firm thresholds and requirements (e.g. volatility alerts)

Disclosure Management

- Collect information in forms customized for firm needs, including, but not limited to:
 - Outside Business Activities (OBAs)
 - Gifts and Entertainment
 - Political Contributions
 - Marketing Material Review
- Configurable approval workflows based on organization hierarchy

Attestations, Certifications, and Questionnaires

- Annual, quarterly, and need-based disclosures
- Employees can identify and modify outdated or inaccurate information in real-time
- Automatically push out reminders and follow-ups to employees of their compliance tasks

Crypto Compliance

- Exhibit monitoring efforts ahead of regulation
- Pre-clear digital assets and create new assets that will become a part of your firm's records
- Protect your firm from conflicts of interest related to crypto-assets



Mitigate risk of employee misconduct using Paragon as a central system of record for simplified management and maintenance of data



Reduce manual workflows by automating approval processes



Identify potential risk using advanced audit tools and exhibit effective internal controls



Enterprise ready with the ability to integrate with your business systems