AlphaCCO

Who is AlphaCCO?

AlphaCCO is a RegTech company that enables today's financial organizations to better navigate the ever-evolving regulatory compliance environment.

Founded by compliance people, AlphaCCO understands the way the financial sector approaches compliance constantly evolves. With the advanced technologies now available, regulators expect matching levels of compliance depth and sophistication from those in the industry.

The good news is, we can help.

We work with all sizes of financial organizations to help them bridge this gap. While our clients recognize compliance as a requirement for doing business, we help them digitally transform their manual compliance program, increasing visibility, lowering risk, and keeping resources focused on value-added work that impacts the business.

AlphaCCO

How do we create an impact for our customers?

We help our clients bring their paper-driven compliance programs to life by turning them into operational and automated processes. Acting as both a compliance management and productivity tool, our platform enables their teams to seamlessly perform any compliance-related task.

As a result, our clients generate savings and create value, allowing them to focus on tasks where their expertise is most needed.

How can we help your firm?

We understand each firm has its unique business reality and the transition from manual to automated compliance management may seem daunting. Rest assured that our onboarding and support team will ensure a smooth transition.
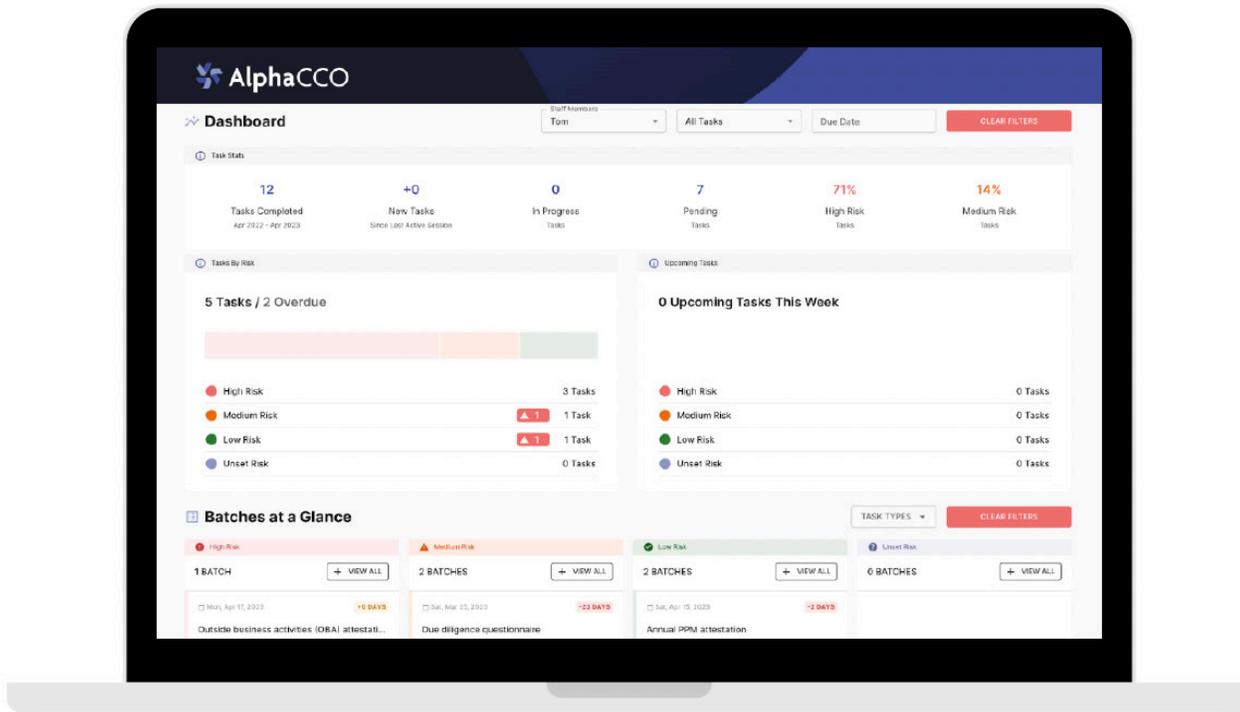
We can help you operationalize and automate all of your compliance controls, giving you the peace of mind that comes from efficiently managing this complex component of your business. Other benefits include:

- Reduced risk of non-compliance
- Lower overall compliance costs
- Increased command and visibility over compliance controls
- Firm confidence in compliance program effectiveness
- Team productivity: better focus on innovative and value-added projects
- Workflow alignment: compliance controls performed based on your team's existing processes
- Audit readiness: seamless access to reports and information for auditors
- Enhanced commitment to compliance throughout the organization
- No surprises: an ever-updating compliance environment that only a digital process can provide

Our platform

Our SaaS (Software-as-a-Service) based compliance management platform provides a user-friendly, scalable compliance management solution. All controls from inception to completion can be organized, monitored, executed, and stored for auditing and reporting purposes.

WE ARE HERE TO SUPPORT YOU

Our goal is to help transition your current compliance program to AlphaCCO painlessly and disruption free.

Our team provides assistance matching the level of autonomy that works for your organization. In addition to providing training according to your team members' level of access, we can provide tools including a control templates library and technical resources ready to help you as needed, for instance to implement existing controls into AlphaCCO, for a smooth digital transformation.

The AlphaCCO platform enables you to:

- Create, execute, document, and approve all internal compliance controls according to the frequency and criteria you define
- View the status of your compliance program at any time by accessing your dashboard
- Extract customized data reports
- Conduct compliance audits within the platform

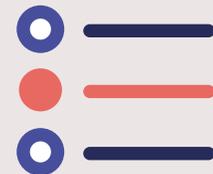# Streamline and simplify compliance processes with:

Workflows

Automate all steps related to a control, from the initial task submitted, to review, approval levels, as well as any further interventions

Answer Flagging

Allows focusing on the answers requiring attention, according to identified criteria

Risk Rating

Helps establish priorities depending on the set risk level for any given control, for optimized time management

Here are some examples of what our clients accomplish with AlphaCCO:

- **External vendors' due diligence** (including portfolio managers) is managed by routing forms through AlphaCCO, improving process efficiency in reducing the risk of missing an issue and automating necessary follow-ups and approvals.

- **Outside business activities** of registered persons in our clients' firms are documented and approved (or rejected) throughout the year directly within AlphaCCO. This provides structure in managing and allows for proper and efficient tracking for all stakeholders.

- **AML/TF screening** is performed on client lists using our tool, automating cross-checks against regulatory lists, which relieves our clients from having to manually perform this task for each individual, rendering the process much more efficient and reducing the risk of error.

- **Personal trades compliance**, including pre-approval requests, account statements submission, and quarterly trades monitoring is managed in AlphaCCO, reducing time-consuming follow-ups and structuring information in one place, in turn increasing the process' efficiency.

- **Client complaints** are documented along with related analyses and resulting decisions using AlphaCCO, providing structure through the process and easy maintenance of an up-to-date complaint log.

Interested in taking a closer look?

AlphaCCO serves as the backbone of our clients' compliance programs, providing optimal structure. With structure, compliance organically integrates into the firms' daily routine. As a result, they save precious time and their team's expertise is applied where it counts most.

Canso INVESTMENT COUNSEL LTD.

AlphaCCO is a proud affiliate of Canso Investment Counsel and forms part of their "Operating excellence" vertical, as their compliance risk management technology solution.

AlphaCCO

We would love to meet you, discuss your needs, and demo our solution.

Contact us:
clientrelations@alphacco.com

BOOK A CALL