

# Northwest Investment Advisors

## Sycamore Compliance Manager

### OVERVIEW

NWIA needed a simple way for their advisors in the field to submit new business to the compliance department for review. They also needed to provide these same advisors access to all of their clients holdings and transactions.

### COMPANY PROFILE

LOCATION	Spokane, WA
COMPANY SIZE	20
INDUSTRY	Financial Services / Wealth Management
COMPETITOR	Sungard, Techmate, Caeser, Foxtrot, SBOS
SOLUTION(S)	Sycamore Compliance Manager
FIRST ACTIVE:	10/01/2010



### CHALLENGE

- Client data resides at Clearing Firm, Individual Product Sponsors, Insurance Carriers and Custodians.
- Snail mail was too slow and email was not secure for advisors in the field to submit new business to compliance.
- Accessing data quickly during FINRA audits was a nightmare. Often reports could not be providing resulting in FINRA warnings.

### SOLUTION

- Built integration with Cirrus Data Solutions and Advisor Exchange.
- Build approval processes within Salesforce for submission of new business. Developed the tools for the compliance department to automatically flag non compliant transactions.
- Developed a library of FINRA related reports that can be run instantaneously for the auditor.

### VALUE

- Provides complete view of all client holdings and transactions.
- Ensures that the Broker Dealer stays compliant with ALL trading activity.
- Eliminates likelihood of FINRA warnings and / or fines due to lack of proper reporting.