



FINWEBTECH
FINANCIAL WEB TECHNOLOGIES



Money
Laundering

Suitability

Supervision

Transaction
Monitoring

Risk
Management



Compliance
automation for
everyone

Problem

Financial institutions are facing increased regulatory risk and increased risks of fines with manual systems



Problem


New Tough Regulations coming

- DOL Fiduciary Rule estimated to cost the industry \$11B by 2020
- AML Rule for Advisory Firms

Firms need a cost effective solution to comply



Problem

A hand holding a wooden pole with a white pennant flag that says 'HELP' in red letters. The hand is emerging from a sea of white paper, symbolizing being buried under paperwork.

Compliance departments
are buried under
paperwork and
inefficient compliance
processes

FINRA's enforcement actions
jumped 14% in 2015 with fines of
\$190 Million



SEC had 868 enforcement
actions with over \$4 Billion
in fines in 2016



CATALYST
Compliance Solution

Product



Dashboard

- Dashboard
- Clients
- Risk
- Trading
- AML
- Tasks
- Library
- Review
- Settings



Logout

Welcome

Hello

Last Login: 10/26/16 9:47 AM
Licensed To: FWT Platform
Version: Catalyst 1.4.4

Key Firm Risk Indicators

Customer

Country

Trade

Wire

■ Low
 ■ Medium
 ■ High
 ■ Unrated

Customer, Country, Trade and Wire Risk – see the Firm Risk page for more information

Your Tasks

Search:

ID	Due Date	Assigned By	Task Notes	Assigned On	Status
2399	8/6/2016	Don Lee	Review suitability forms	8/5/2016	Overdue
2400	8/12/2016	Don Lee	Review Medium Risk Accounts	8/6/2016	Overdue
2401	8/12/2016	Don Lee	Review all High Risk Accounts	8/6/2016	Overdue
2402	8/12/2016	Don Lee	Review all high risk accounts	8/6/2016	Overdue
2404	8/7/2016	Don Lee	Review margin calls and send mar...	8/6/2016	Overdue
2406	8/7/2016	Don Lee	Review prior day commission and ...	8/6/2016	Overdue
2407	8/7/2016	Don Lee	Review suitability forms	8/6/2016	Overdue
2409	8/8/2016	Don Lee	Review margin calls and send mar...	8/7/2016	Overdue

SHOWING 1 TO 374 OF 374 ENTRIES

Tasks assigned to you

Your Alerts

View As: Yourself

Search:

ID	Date	Customer	Type	Alert
5850	10/28/2015	5: Obi Kenobi	AML	Incoming wires larger than 15% of cus...
5851	10/28/2015	8: Padme Amidala	AML	Incoming wires larger than 15% of cus...
5864	10/28/2015	5: Obi Kenobi	AML	Outgoing wires larger than 30% of Acc...
5867	10/28/2015	13: Leonard McCoy	AML	Outgoing wires larger than 30% of Acc...
5873	10/28/2015	12: Star Trek	AML	Incoming wire amount greater than 80%...
5880	10/28/2015	5: Obi Kenobi	AML	Incoming wires larger than 15% of cus...
5883	10/28/2015	8: Padme Amidala	AML	Incoming wires larger than 15% of cus...
5896	10/28/2015	2: StarWars	AML	Incoming wire amount greater than 80%...

SHOWING 1 TO 107 OF 107 ENTRIES

Incoming alerts for you

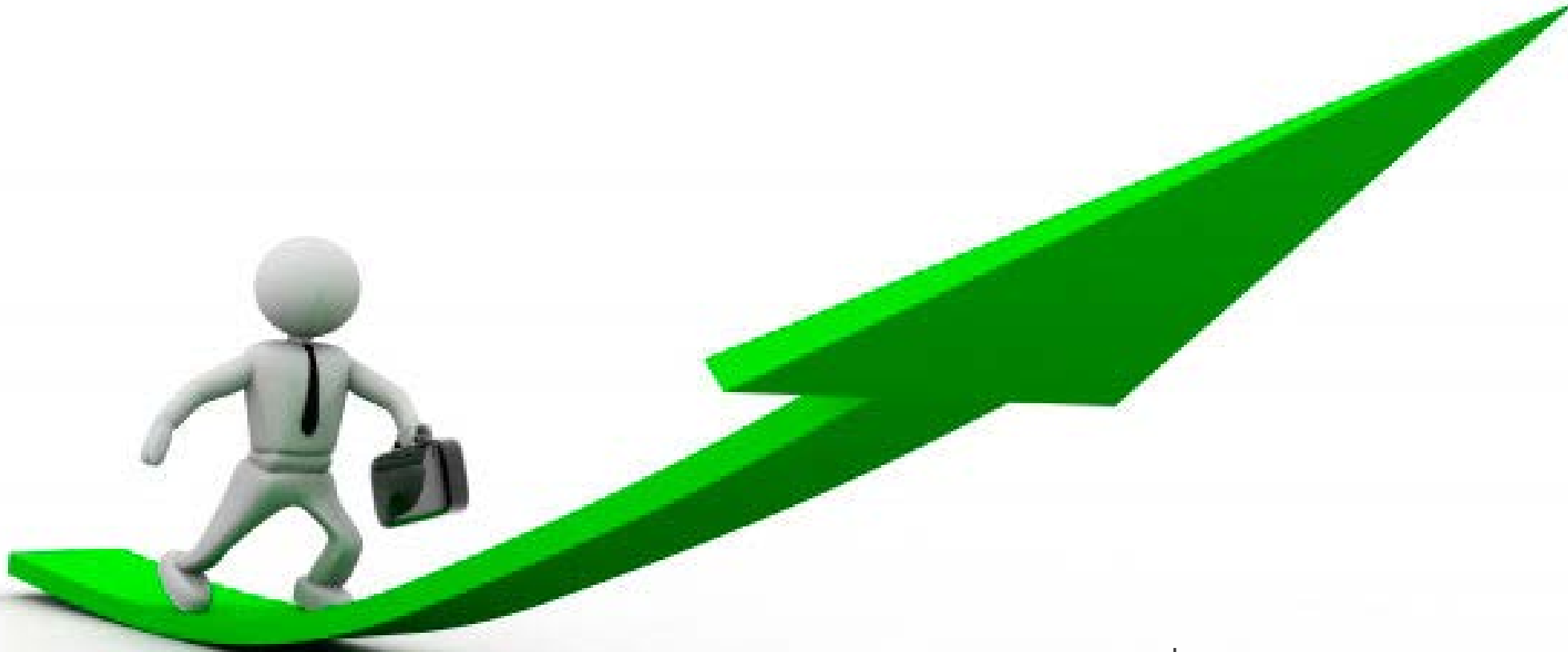


Market Validation



- 4,000 Broker Dealers
- 25,000 Registered Investment Advisors

Market Size



- RIA Market: \$25 Million
- Broker Dealer Market: \$10 Million



Business Model

Enterprise Licensing

White Labeling

Software leasing



Business Model

- Avg. Monthly Subscription: \$2,000
- Avg. Setup Fee: \$5,000
- Avg. Implementation time: 4 weeks



- ✓ 4 Customers
- ✓ 5 Integrated Clearing Firms:
 - ✓ Pershing
 - ✓ Interactive Brokers
 - ✓ Sterne Agee
 - ✓ COR Clearing
 - ✓ APEX Clearing



Value

Designed by *compliance*
for *compliance*

Low cost solution to
price in small and
medium
sized firms

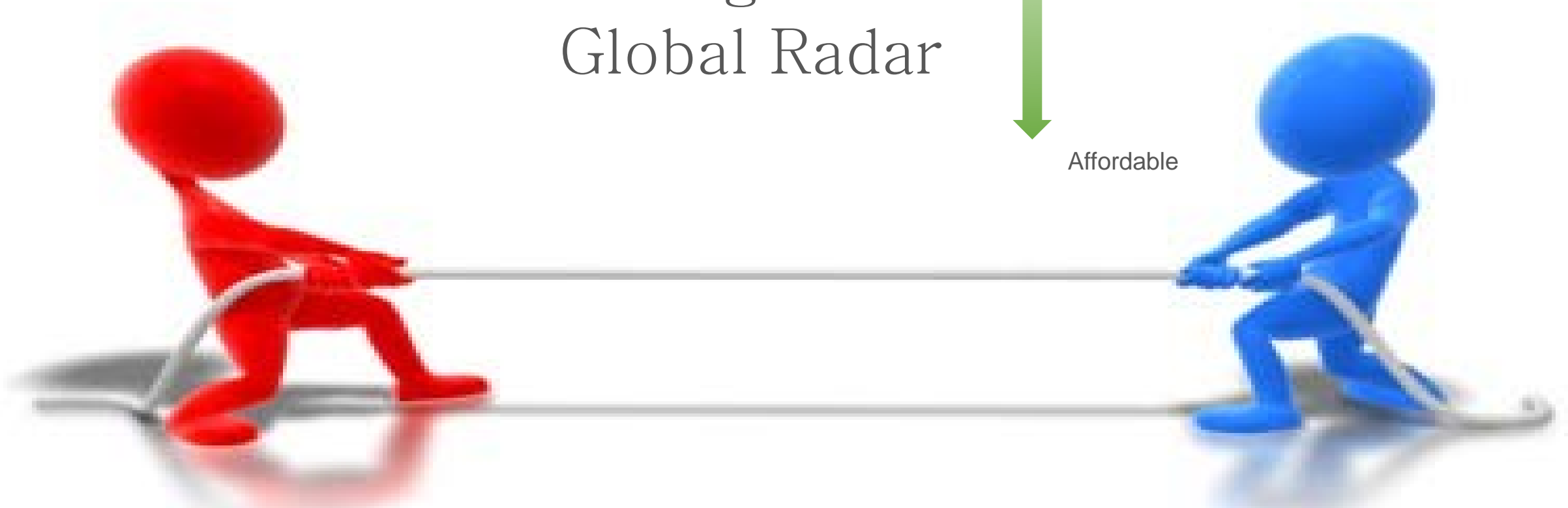
Access to Big Data
analysis at an affordable
price

Competition

Actimize
Protogen
Global Radar

Expensive

Affordable





Competition Advantages

- ✓ Suite of modules provides best value
- ✓ Risk Rating
- ✓ Low Price
- ✓ Designed by compliance
- ✓ Targets both Broker Dealer & Advisory markets
- ✓ Retail module (planned)



Official Launch

2016

Deployment Q3

2015

2014

Development

2013

Founded



We are seeking investments for:

- ✓ Faster onboarding
- ✓ Continued evolution of the technology
- ✓ Sales and Marketing

Thank You



For more information, please contact:

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