

CATALYST

Compliance Solution



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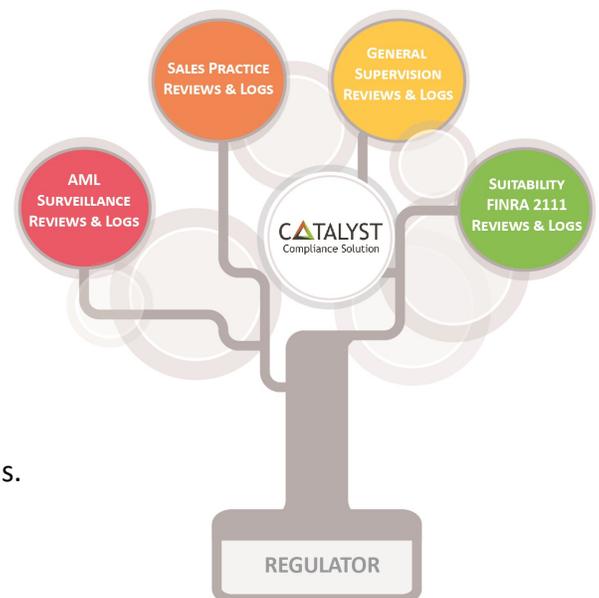
CATALYST AUTOMATED COMPLIANCE SOLUTION

Catalyst is an Automated Compliance Solution designed to give compliance officers a 360 degree view of their firm's compliance program while simultaneously identifying and managing risk. Catalyst was designed by Compliance for Compliance.

Catalyst provides firms with a complete suite of tools designed to automate transaction monitoring and enhance compliance programs.

Catalyst provides the following:

- **Risk Rating** tool that allows firms to risk rate their clients and maintain 'Key Firm Risk' indicators.
- **Transaction Monitoring** of data for AML, Suitability and Risk.
- **Supervisory Controls** with Audit Logs to document compliance tasks and events.
- **Trade Blotter** management at the OSJ and Branch levels.
- **Reporting tools** for reviewing purposes.
- **Document Repository** to maintain procedures and compliance forms.



Catalyst is designed to fit firm's unique business and risk, with customizable risk rating and rules resulting in an effective compliance solution. All of the modules in Catalyst are integrated seamlessly providing firms with the ability to utilize data in all aspects of the application eliminating the 'silo' effect of multiple systems.



KEY CATALYST COMPONENTS

Risk Based Platform

Catalyst provides firms with the ability to risk rate their customers with customized risk rating forms specific to firm's unique business models. This risk based approach allows firms to effectively demonstrate a "risk based program" that is implemented, monitored and maintained.



Anti Money Laundering (AML) Solutions

Catalyst provides firms with transaction monitoring for AML data based on trade transactions, money movements in wires and debit cards and much more. The transaction monitoring is fully automated to trigger alerts with work flows to gather more information and document the alert. The AML rules are integrated with the Risk Based module to provide valuable alerts for an efficient risk based program.

Trade and Suitability Supervision

Catalyst provides firms with the transaction monitoring for trade and investment suitability. The transaction monitoring is fully automated to trigger alerts with work flows to gather more information and document the alert. The trade and suitability rules are also tied into the Risk Based module to provide valuable alerts.

Catalyst also provides firms with Trade Blotter management at the OSJ and Branch level. Additionally, Catalyst provides firms with the ability to document transactions in according to FINRA's rule 2111 for complex products and trades.



Supervisory and Management Controls

Catalyst provides firms with supervisory and management controls through its task management system. This system allows Chief Compliance Officers (CCO) to assign recurring compliance related tasks to supervisors to be completed. This module allows the CCO to view completed and outstanding tasks which makes it an effective management tool at the OSJ and Branch levels.



Reporting and Audit Logs

Catalyst provides firms with reports based on alerts, trades, reviews, supervisors and other modules for complete reporting control. Catalyst also provides audit logs for Supervisory Control and Task Management systems to display the results of recurring compliance related tasks.

Client Center and Know Your Customer (KYC)

Catalyst provides firms with the ability to document their client's KYC. This includes the ability to upload materials such as corporate documents, IDs and other KYC information.



Document Repository

Catalyst provides firms with a centralized location to maintain all of their procedures and compliance forms that can be shared firm-wide. This allows branch managers, supervisors and reps to have access to the most recent procedures and compliance forms.

Comprehensive and Customizable Rules

Catalyst believes no two firms are alike. In that spirit, the application allows firms to customize the base rules provided. Catalyst goes a step further by allowing firms to create their own rules. The ability to create rules allows firms to conform Catalyst to match their unique models and risk.



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About Catalyst

Catalyst is a cost effective solution that was designed for Broker Dealers, Registered Investment Advisors, Banks and other financial institutions to provide compliance automation that will help increase efficiency, reduce risk and maintain a strong risk management culture throughout the organization.



About FinWebTech (www.finwebtech.com)

FinWebTech is a Service as a Solution (SAAS) software firm headquartered in Miami, Florida. FinWebTech's products are geared towards the financial services industry with Catalyst being its premier and flagship product.

For more information regarding FinWebTech and the Catalyst Compliance Solution, please contact Don Lee at don.lee@finwebtech.com or 305-409-1307.