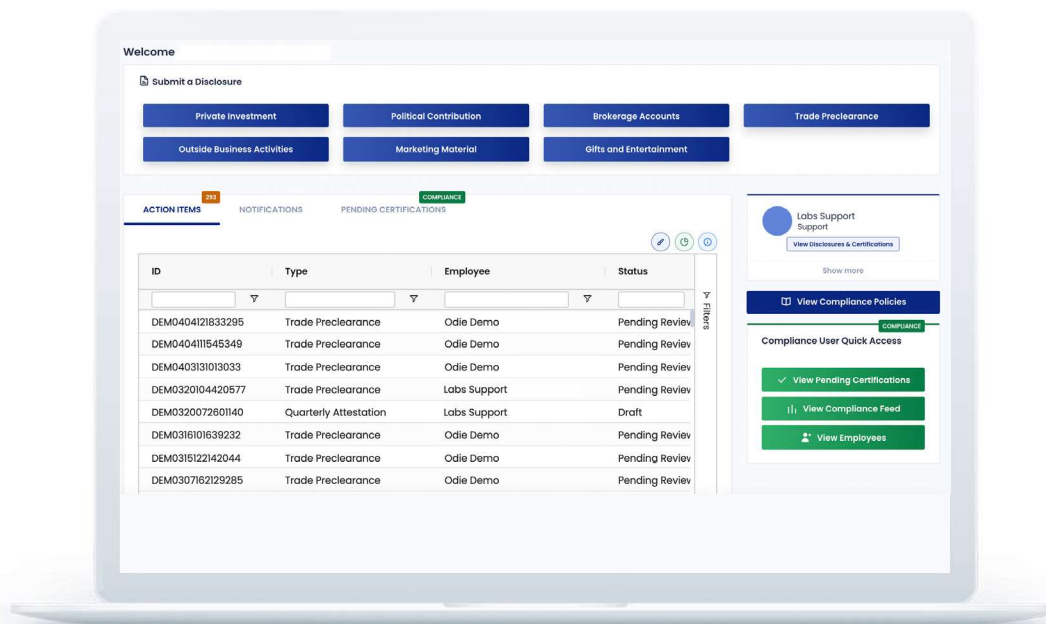**Intapp Employee Compliance**

# Manage and enforce personal independence compliance

To meet regulatory requirements and ethical obligations, accounting firms offering audit services must ensure that they — as well as their partners and other professionals — remain independent and conduct audits in an objective manner. As regulators increasingly focus their inspections and new rulemaking on personal independence, accounting firms need a way to automate and improve their personal independence compliance processes for both risk management teams and professionals.

Intapp Employee Compliance provides a single, intuitive destination for your compliance team and professionals to ensure and demonstrate compliance with personal independence policies and regulations. Using Intapp Employee Compliance, your accounting firm can automate processes such as the capture of personal investment and financial interest information, pre-clearance and monitoring of trading activity, and the collection of periodic certifications. By automating these processes, your teams can better manage, enforce, and report on personal independence compliance.

Compliance teams have holistic views and easy access to their next steps

Intapp Employee Compliance gives your firm a modern, purpose-built solution for streamlining personal independence processes and meeting regulatory requirements. You can improve the way your teams conduct brokerage feed setup and financial interest disclosures, as well as trade pre-clearance, monitoring, and reporting. With Intapp Employee Compliance, your compliance teams and professionals can more efficiently work together to protect your brand and reputation.
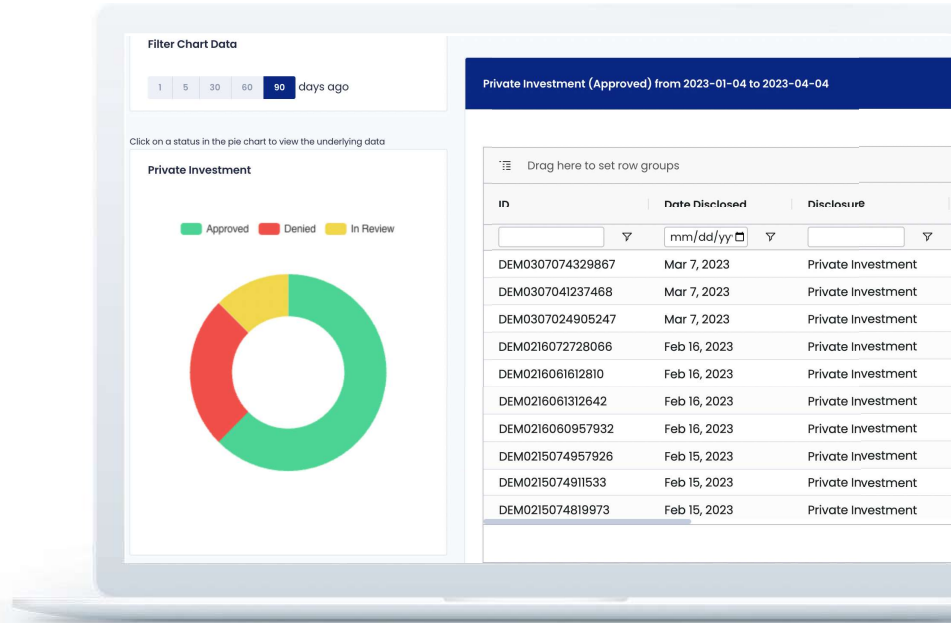
Dynamic, configurable dashboards highlight the information that's most important to each user

Features and benefits

Automated trade pre-clearance

Streamline trade execution and approval using your firm's restricted entity lists

Increased brokerage feed coverage

Connect brokerage accounts via Plaid and leverage managed brokerage feed setup and maintenance to save time and reduce errors

Configurable workflows and reminders

Support timely periodic certifications and trade approvals with custom workflows and notifications

Auditable system of record

Leverage a comprehensive history of compliance decisions and actions when responding to regulatory requests

Standardized data organization

Identify independence impairments, support timely remediation, and enable faster pre-clearance with normalized brokerage feed data

One destination for all parties

Provide a hub for partners, other professionals, and their covered parties to initiate, track, and receive approval of personal trade requests

Integrated compliance

Automate end-to-end compliance by integrating with Intapp Conflicts and other firm systems

Personalized dashboards

Identify key data patterns for timely, appropriate action with role-based, centralized data views and dynamic reporting tools

Learn how you can confidently manage, monitor, and enforce personal independence mandates at intapp.com/accounting/employee-compliance