



Confidently Deploy Digital Client Engagement Channels

Hearsay helps financial services firms unlock modern digital channels that empower authentic client engagement, while proactively managing compliance risk in a challenging regulatory environment.

Our Compliance advisory service offers:

- **Compliance coverage across the entire digital client journey:** Hearsay offers the *only* platform with compliance integrated throughout the customer journey—with guidelines considered at every step of the publishing process.
- **Tools that are purpose-built for more efficient supervision and partnering with the business:** Hearsay's compliance solutions, such as universal supervision, threaded archiving, and automated reporting of calls and texts, offers compliance teams more efficient means of engaging and monitoring client relationships.
- **Seamless integration across the compliance ecosystem:** Hearsay integrates easily within your existing compliance infrastructure to reduce cost, complexity, and risk. Our configurable workflows place the compliance user experience at the forefront and make adapting to and complying with regulatory obligations more impactful.
- **Scalable layers of defense for supervision:** Hearsay bolsters firms' compliance strategies by intelligently surfacing, tracking and remediating sensitive communications via our Risk Meter and AI-powered alert system. Automated workflow routing helps supervisors focus on the highest-risk violations.

WHY HEARSAY?

- Risk mitigation is integral to our platform, driving administrative and operational efficiency that helps financial services firms reduce cost, complexity and risk.
- We enable seamless legal and regulatory compliance and monitoring of digital engagement channels, including social media, text & voice, websites and more, in line with global requirements from FINRA, SEC, IIROC, FCA, PRA and other regulatory bodies.
- Our purpose-built tools mitigate the risk of regulatory penalty, censure, and reputational damage.
- We proactively partner with our clients—across various lines of business— to create and update policies to rapidly adapt to dynamic regulatory changes.

It's no wonder that over 3,400 compliance professionals trust Hearsay as their partner for the last mile of digital communications.

Hearsay is Your Compliance Partner

Drawing on deep industry expertise to guide product development, regulatory interpretation and program support, our team offers:

- Best practices on leveraging Hearsay as a key part of your compliance ecosystem, including advising on governance, change management, and technology infrastructure
- Compliance services, including lexicon analysis, compliance training, supervision reporting and dashboard customization, and compliance audits
- An analytical perspective of the compliance and supervision ecosystem
- Pragmatic insight and guidance on rule changes
- Industry thought leadership and compliance-centric customer forums

Hearsay aims to make compliance simple, offering a platform purpose-built for compliance with a range of regulatory obligations, effective supervision, and efficient partnerships between the first and second lines of defense.

Over 3,400 compliance professionals at top global financial services firms trust Hearsay as their compliance partner for the last mile of advisor client digital communications.

We'd love to explore how we can partner with you too.

“Before Hearsay, our compliance team would spend weeks at a time working with reps to update and edit content. With Hearsay, platform compliance has become streamlined and content issues are resolved within minutes.”



Fanette Singer
Former Senior VP of Marketing
Country Financial

“Hearsay’s SMS supervision allowed us to scale to thousands of advisors without adding headcount.”

VP Risk & Supervision
Fortune 100 Bank

Up to 80%

Reduction in time spent
reviewing/pre-approving content
and addressing issues

Find out how Hearsay can help your advisors and agents, contact us at:

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ABOUT HEARSAY SYSTEMS

Hearsay Systems is reinventing the human-client experience in financial services. The Hearsay Client Engagement Platform empowers over 200,000 advisers and agents to authentically and intelligently grow business relationships by proactively guiding and capturing the last mile of digital communications. The world's leading financial firms—including Allstate, New York Life, Morgan Stanley, and Charles Schwab—rely on Hearsay's SaaS platform to scale their reach, optimise sales engagements, and deliver exceptional client service in a consistent and compliant manner. Hearsay is headquartered in San Francisco, with globally distributed teams throughout North America, Europe and Asia.

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