

“ The SiteQuest Compliance apps have become a force multiplier in my firm’s supervisory scheme. These simple tools have transformed my surveillance processes from a time-consuming, multi-day enterprise to a simple process that can be completed in a couple of hours.”



Our proven ability to help firms meet their regulatory obligations is why SiteQuest Compliance has become a trusted partner and solution provider.

WHAT IS EAGLE EYE?

EAGLE EYE uncovers and supervises your advisors’ online footprint. It discovers social media accounts, websites, blogs, OBAs, DBAs, profiles, and other online content that belong to or are about your advisors, allowing you to address issues prior to regulatory discovery or examination.

WHY DO YOU NEED IT?

EAGLE EYE supports your firm’s adherence to regulatory requirements such as **FINRA Rules 3270, 3110, 2210, and 3120** by providing automated and intelligent supervision of the Internet. In Addition, Eagle Eye conducts Secretary of State searches for all 50 states directly within the platform.

YOUR RETURN ON INVESTMENT

EAGLE EYE eliminates time-consuming, ineffective manual search processes with our easy-to-use dashboards, workflows, and automated documentation. As a result, it reduces compliance and “failure to supervise” risks while demonstrating to regulators that your firm is actively supervising the web in compliance with FINRA and SEC rules with a formalized program.

WHAT IS SQWATCHER?

SQWATCHER monitors and archives advisor websites, even those hosted by non-approved providers. Custom-built workflows will organize your reviews into a manageable system that is easy to use, allowing website changes to be shared, escalated, and tracked while compliance issues are resolved within your supervision department.

WHY DO YOU NEED IT?

SQWATCHER supports your firm’s adherence to regulatory requirements such as **FINRA Rules 2210, 3110, 3120, 4511, and 4550** by actively supervising websites for unapproved changes and providing historical archives of these sites. SQWatcher is customizable and flexible. Specify the types of changes that generate into your workflows, such as new web pages, changes to readable text and images, Google reviews, YouTube uploads, comments, and more.

YOUR RETURN ON INVESTMENT

SQWATCHER’s robust dashboard and bulk review processes allows your firm to monitor and document dozens to hundreds of websites with relatively few employee hours involved. As a result, it reduces compliance and “failure to supervise” risks while demonstrating to regulators your firm is actively supervising advisors’ websites.

WHAT IS POLICIES?

POLICIES organizes, manages, and delivers your firm’s policies, procedures, WSPs, and other documentation into one online platform that can be accessed on both desktop and mobile devices. This powerful and affordable solution takes your policies presentation, version control, and usability to the next level.

WHY DO YOU NEED IT?

POLICIES ensures compliance with **FINRA rules 3110, 3120, and 3130** by making sure the most up-to-date policies and WSPs are accessed and utilized by your advisors. Advisors using Policies can easily search across multiple policies and WSPs to stay compliant, limiting calls and emails to compliance for support. In addition, within the app, policies can be linked to each other, to forms, to attachments, to FINRA rules, and more.

YOUR RETURN ON INVESTMENT

Our **POLICIES** application helps reduce risks and lower costs associated with managing policies and WSPs. Our full-service approach, superior technology, and reasonable pricing reduces your costs associated with creating, editing, formatting, publishing, and tracking changes to your policies and WSPs.