



Get Exam-Ready with Orion Compliance Technology

Your Total Governance and Compliance Experience

The world of regulatory compliance isn't getting any easier to navigate. Orion Compliance streamlines everyday compliance processes and maintains vital records, so you're always audit-ready.

Orion Compliance offers the tech solutions you need to manage employee, firm, and client processes and procedures — all in one place. The cloud-based platform provides seamless and secure mobile accessibility, enabling you and your team to remain in compliance from anywhere.

Simplify All Sides of Your Compliance Program



Automate Key Processes

From regular employee attestations to personal trading requests, automate rote compliance processes so you have more time to focus on clients.



Maintain Regulatory Proof

Administer employee testing and training, organize onboarding processes and store internal governance and audit records.



Address Code of Ethics

Make it easy for your team to file trade requests, gifts and entertainment records, outside business activity approvals, and more from their compliance dashboard.



Share Compliance Information

No more digging through your email for necessary compliance documentation and deadlines. Build a shared calendar and document library so your team can access pertinent information.



Improve Client Account Oversight

Monitor portfolios — including trade activity, cash exposure and suitability — and manage Reg BI and AML activities and filings.



Access with Single Sign-On

Orion Advisor Tech clients enjoy single sign-on from anywhere through their dashboard. Plus, use our secure mobile app on the go.

Three Distinct Compliance Offerings to Meet You Where You Are

Every firm is different. No matter what kind of compliance support you're looking for, we have the tech you need. Use Orion Compliance as standalone plans or as part of your Orion Tech stack.

	Employee Oversight	Firm Oversight	Client Oversight*
Standard			
Calendar	●	●	●
Library	●	●	●
Reports	●	●	●
Regulatory News	●	●	●
ADV Dashboard*	●	●	●
Supervision Queries*	●	●	●
Code of Ethics			
Personal Trading	●		
Gifts and Entertainment	●		
Outside Business Activity	●		
Direct Employee Brokerage Connections	●		
Compliance Management			
Testing		●	
Certifications		●	
Forms Studio		●	
Onboarding		●	
Governance and Audit		●	
Whistleblower		●	
Insider Trading		●	
Filer		●	
Portfolio Oversight			
Drift Alerts (Powered by Orion Risk Intelligence)			●
Portfolio Monitoring (Trade Activity, Cash Exposure, Suitability, Objective Misalignment)			●
Risk Monitoring (Powered by Orion Risk Intelligence)			●
EDGAR Reporting			
13D/G/H			●
13F	●	●	●
Portfolio Management			
Share Class Checker			●
Pre-Trade Compliance (Through Orion Trading)			●
Service			
Onboarding	●	●	●
SME Support	●	●	●
Training (Web Meeting, Onscreen, and Videos)	●	●	●
APIs/Single Sign-On	●	●	●
Mobile Apps	●	●	
Optional Add-On			
WORM Storage	\$	\$	\$
Hosted Private Environment	\$	\$	\$

* Features are only available for firms using Orion Core Tech.

Ready to learn more? Contact us today for more information.

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