

 **results**

PURPOSE-BUILT FOR RIAs:

Save 50% on Compliance and Archiving

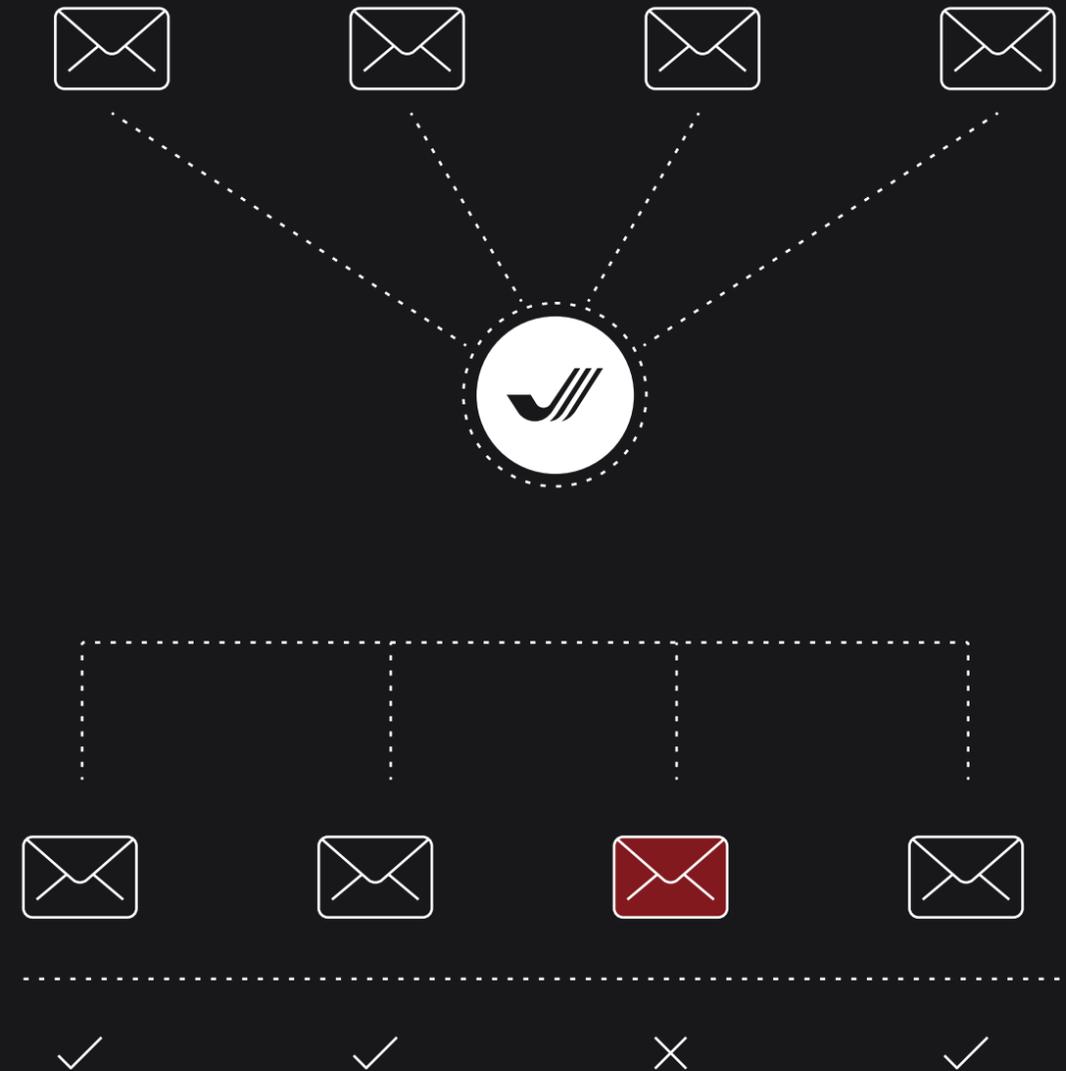
Welcome to Compliance 2.0:

A new approach to compliance that saves
you valuable time and money.



Email reviews are a major burden for investment advisers

But there's a way to limit the amount of emails that need to be reviewed: **Pre-Remediation**.



Flagged emails are triggered **before** reaching the recipient

How it works:



1. Pre-Detection

All emails sent from your company pass through the Results™ intelligent gateway, where we check the contents of the email for potential compliance breaches.



2. Remediation

If we detect a flagged keyword in an outgoing email, we prompt the sender to review the email. We offer quick and flexible remediation options to allow the email to continue on its way.



3. Less reviewing

Since most triggered emails were remediated before reaching the recipient, the CCO is left to review a fraction of their current flagged emails load.

Cut down on 90% of flagged email reviews



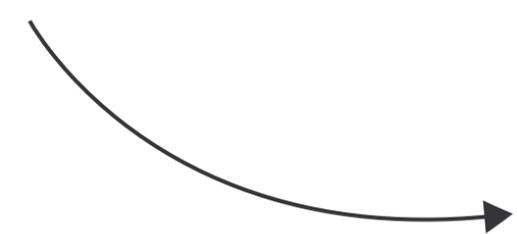
Give your people the tools to self-regulate their behavior.

To: client-email@gmail.com

Your portfolio

Hi,

Please find attached your financial outlook for the upcoming year.
We are anticipating similar results to the past year's performance.



 results

Email not sent

This email may violate the following compliance rule: "imply that past performance will recur or make any exaggerated or unwarranted claim, opinion or forecast."

Original email details:

Sent: Monday, July 30, 9:32am
Recipient: client-email@gmail.com
Triggered data: Guarantee implication

[Edit email](#) [Send anyway](#)

If you have any questions about this email, reach out to your IT department, or contact the Results [Support Team](#).

Features:

- ✔ Employee training & awareness
- ✔ Custom triggers per team/user
- ✔ AI-driven negating terms
- ✔ Built-in intelligent compliance modules
- ✔ Intuitive CCO dashboard
- ✔ Runs on modern, quick infrastructure



Gain peace of mind with Results as your designated third party:

- ✔ Emails archived in accordance with 17a-4 guidelines
- ✔ Letter of undertaking with the SEC and FINRA
- ✔ Detailed CCO review logs and reports
- ✔ Quarterly and annual procedure updates





Schedule a demo today and see why some of the most efficient RIAs are switching to Results for email compliance and archiving:

results.com

info@results.com

(929) 202-7100

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