



BAT Software

Compliance Management Software

BAT Software - Background



BAT Software (Broker Admin Technology Ltd) is the only automated compliance management system on the market. Since 2016 we've created

- ▶ Auto file checking
- ▶ On boarding through to CAS status records
- ▶ Online learning and testing and recording CPD
- ▶ Promotion checker
- ▶ Auto report writing and Document library
- ▶ Complaint and breach recording

BAT Software's solution is being utilised by compliance firms such as IFAC through to IFA firms in the Wealth and Mortgage environment.

Manage your in-house compliance function, tracking complaints, adviser testing, file checks, enabling the firms' risks being managed and reported on within one system.

BAT Software can be a standalone or integrated with Intelliflo to pass the new business documents and data to BAT Software, so clients reviews, and new business files can be managed and tracked effectively

BAT Software Key Features



- ▶ **File checking report for new and review business**

Check all new business pre & post-sale, configured to target high risk cases pre and post sale and track any remedial work needed through the system. File checks can be requested automatically by set criteria or manually, and can be outsourced file check service through your compliance partner.

- ▶ **CPD register/analysis**

Monitor and track your team CPD hours, set minimum hours, storing records and certificates in BAT Software. Track and send reminders on where you are with you CPD hours for the year.

- ▶ **Online CPD Exams**

Create and manage your own online CPD Exams, set the pass rate, get analysis and reminders for your staff. Question banks available.

- ▶ **Complaints register**

Keep a complete register of all complaints and where they are in the process, to fit FOS timescales, including reminders.

- ▶ **Breach Register**

Store all breaches (internal/external) securely and review when required and recorded in personal / team reports.

- ▶ **Promotions**

Financial promotion flows and registers for sign off. Check and approve the financial promotions before they are issued.

- ▶ **Audit report/analysis**

When completing a compliance Audit on the business or adviser(s), have the analysis report and outstanding actions at the touch of a button. This enable you are track how the business/adviser are behaving.

BAT Software - Highlights



Focus on Compliance

- ▶ Compliance management software is a set of rail tracks to run your staff compliance on. Risk dashboard to show scores and track firm progress.
- ▶ A sound investment with long-term benefits for your business. All firms require reports for counterparties, regulators, due diligence and clients.
- ▶ Compliance keeps the entity running smoothly
- ▶ Reports are consistent, measurable and presentable.
- ▶ Manage business growth with consistent and automated reporting



Q1 Enhancements to the software



- ▶ Integration with Intelliflo Office
- ▶ Dashboard - redesign
- ▶ File checking - redesign
- ▶ Promotion - redesign
- ▶ Workflow introduced
- ▶ Complaints register
- ▶ CPD register update
- ▶ New MI reports
- ▶ Client profile - redesign
- ▶ Client, Provider & Fund - panel tracker
- ▶ Audit reporting