



Pinpoint conflicts with ease and enjoy crystal-clear compliance

Mitigate risks of conflicts and build client trust

Industry Challenges in Managing Conflicts of Interest

Financial services firms are under increasing pressure to identify, disclose, and manage conflicts of interest (COI) in an environment of heightened regulatory scrutiny. Key challenges include:



Fragmented Processes and Inconsistent Oversight

Manual or disconnected systems often result in inconsistent declarations, untracked approvals, and a lack of enterprise-wide visibility. This leads to gaps in oversight and regulatory exposure.



Risk of Reputational and Regulatory Breach

Failure to identify or mitigate COI can lead to perceived or actual misconduct. This carries serious consequences, from damaged client trust to enforcement actions by regulators like the FCA, SEC, and international equivalents.



Reactive, Not Preventative Monitoring

Without centralised tracking and workflows, firms struggle to flag potential conflicts before they become issues. This limits the ability to prevent harm or demonstrate effective governance.



Limited Auditability and Reporting

When COI management is not automated, generating audit trails, evidence of mitigation, or trend analysis becomes time-intensive and prone to human error.

Unlock the Benefits of Ruleguard's Conflicts of Interest Solution

Centralised and Configurable COI Oversight

Ruleguard provides a single, cloud-based system for employees to declare potential conflicts, and for compliance teams to triage, review, and resolve them. Tailored workflows support internal policies, risk types, and review hierarchies.

Real-Time Conflict Detection and Review

All submissions are routed through structured workflows that support pre-defined rules, automated alerts, and escalation pathways. This ensures faster resolution and alignment with internal codes of conduct and regulatory requirements.

Comprehensive MI Reporting and Dashboards

Monitor COI trends across departments, regions, or roles. Real-time dashboards and management information allow compliance teams to spot red flags, track policy breaches, and present evidence to stakeholders or regulators with ease.

Seamless Integration with Compliance Ecosystems

Ruleguard integrates with other compliance tools, including personal account dealing, gifts & hospitality, and training systems. This interconnected approach reduces risk and improves operational efficiency.

Flexible, Scalable, and Global Ready

The solution is designed to work across business units and geographies. With configurable thresholds, forms, and approval paths, firms can enforce global policies while maintaining jurisdictional flexibility.

Why Ruleguard?

Ruleguard's Conflicts of Interest solution is designed for enterprise-grade control, helping compliance teams stay ahead of obligations and build a culture of integrity:

Workflow-Driven Automation

Built-in logic automates reviews and escalations, ensuring timely conflict resolution.

No-Code Customisation

Compliance teams can configure the solution without IT dependency, reducing cost and deployment time.

Enterprise Visibility & Audit Logs

Gain complete oversight of COI disclosures and access full audit trails at the click of a button.

Designed for the Financial Sector

Built with the needs of regulated firms in mind, including asset managers, banks, insurers, and brokers.

Trusted by Industry Leaders

Relied upon by major financial institutions to ensure COI compliance and uphold ethical standards.

Protect Integrity. Prevent Conflicts.

Ruleguard's **Conflicts of Interest Solution** enables firms to create a trusted, proactive, and transparent environment for identifying and resolving potential conflicts. With integrated controls, flexible workflows, and real-time oversight, Ruleguard ensures your firm meets its regulatory obligations while safeguarding reputation and stakeholder trust.

Schedule a call with us to learn how your firm can effortlessly identify, manage, and mitigate conflicts of interest. Protect your firm's integrity and regulatory compliance today.

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