

Open Banking Instructions

Sep 27, 2023



Open Banking

Faster, more secure broker aggregation connections are coming to Employee Compliance!

We're excited to announce upcoming enhancements to the way ComplianceAlpha®'s Employee Compliance Solution links to your financial accounts via aggregation. These changes make broker connections faster and more secure by allowing you to authenticate directly with your broker without needing to share your credentials through ComplianceAlpha. These changes are being made in accordance with the Open Banking Standard, which is designed to standardize financial data sharing practices globally.

Step by Step Instruction

1. Log into [Employee Compliance](#) and navigate to Personal Trading / Accounts.
2. For any accounts that need to be converted: click the row to expand the card and then click “Edit Login”.
3. This will take you the Open Banking connection flow where will you be asked to authenticate on your banks website and provide consent for ComplianceAlpha to pull your accounts. If prompted by your bank, we recommend that you select the option to pull in all future accounts.

*See screen shots for step-by-step instructions.

Acme Capital Management

Personal Trading

TRANSACTIONS HOLDINGS **ACCOUNTS** SECURITY MASTER

More Filters User Search SHOW FULL ACCOUNT # SEE MY ACCOUNTS ONLY

USER ↑	BROKER	ACCOUNT NAME	ACCOUNT #	LAST SUCCESSFUL REFRESH	ACCOUNT STATUS	CONNECTIONS STATUS
Leanne Shapro	USOBTest MFA	Dag IRA	XXX2345		Open	Connection Active

ACCOUNT TYPE
Aggregation

CONNECTION STATUS
● Aggregation Feed SUCCESSFUL as of Feb 15, 2022 6:26 pm

[REFRESH CONNECTION](#)
[VIEW CONNECTION LOG](#)
[EDIT LOGIN](#)

1

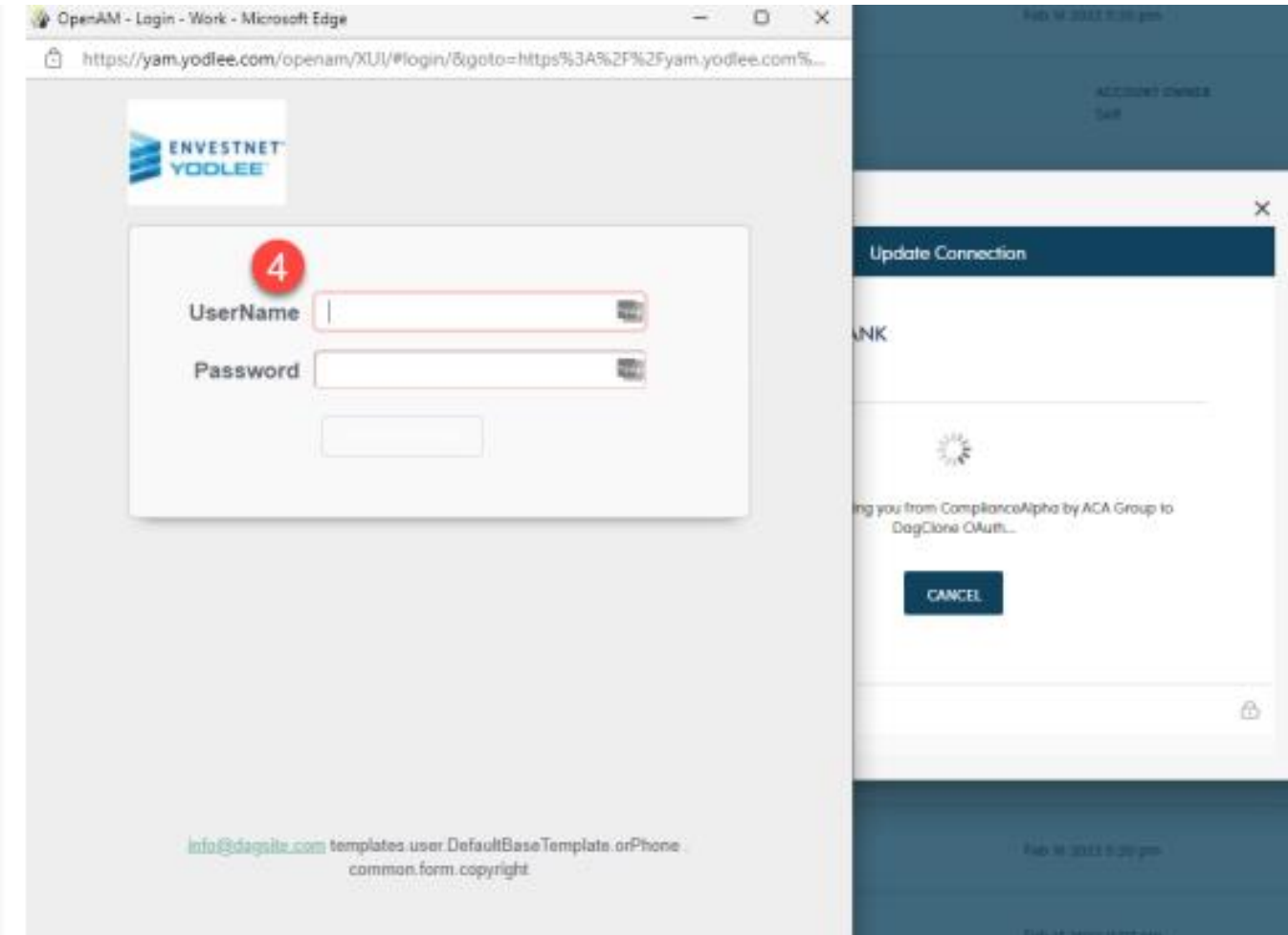
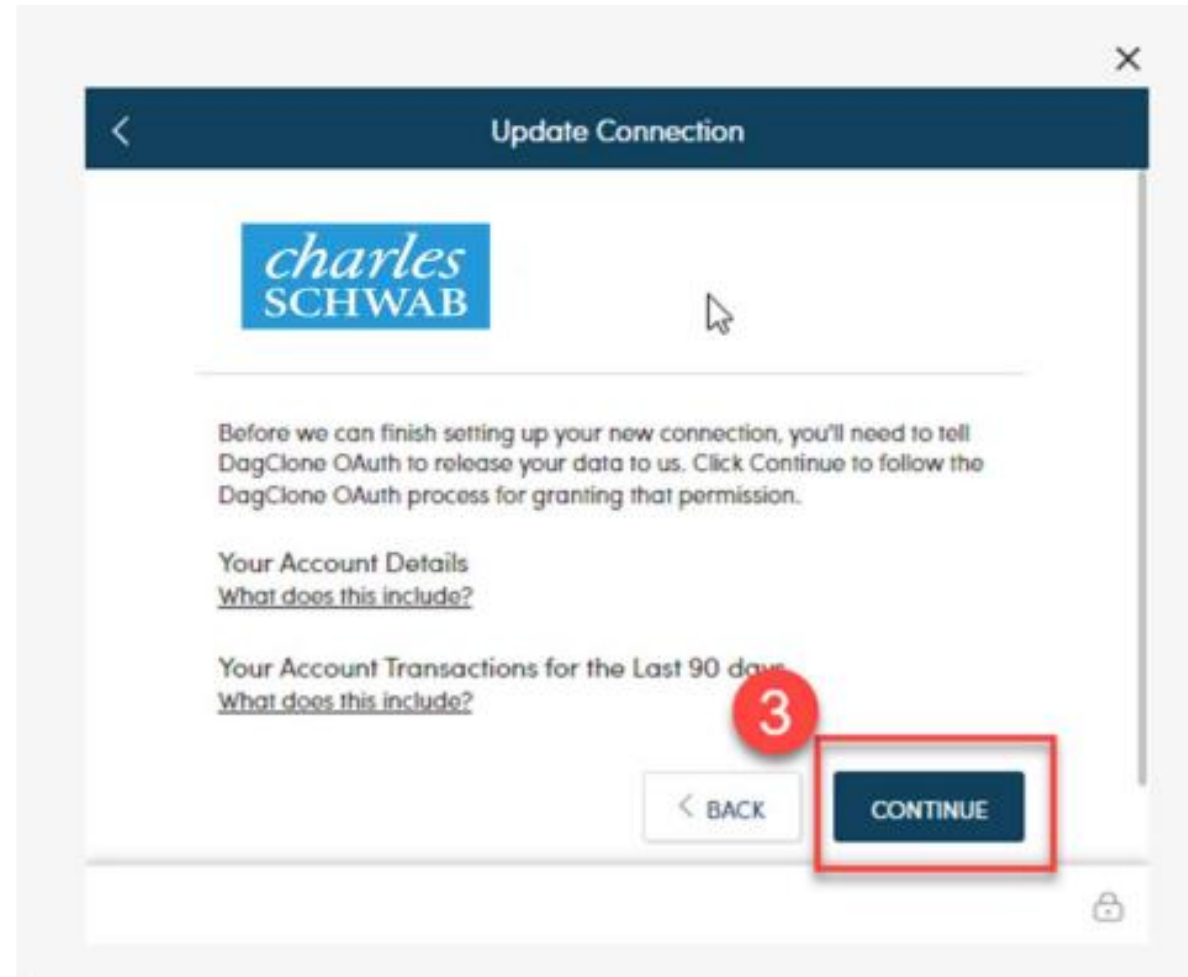
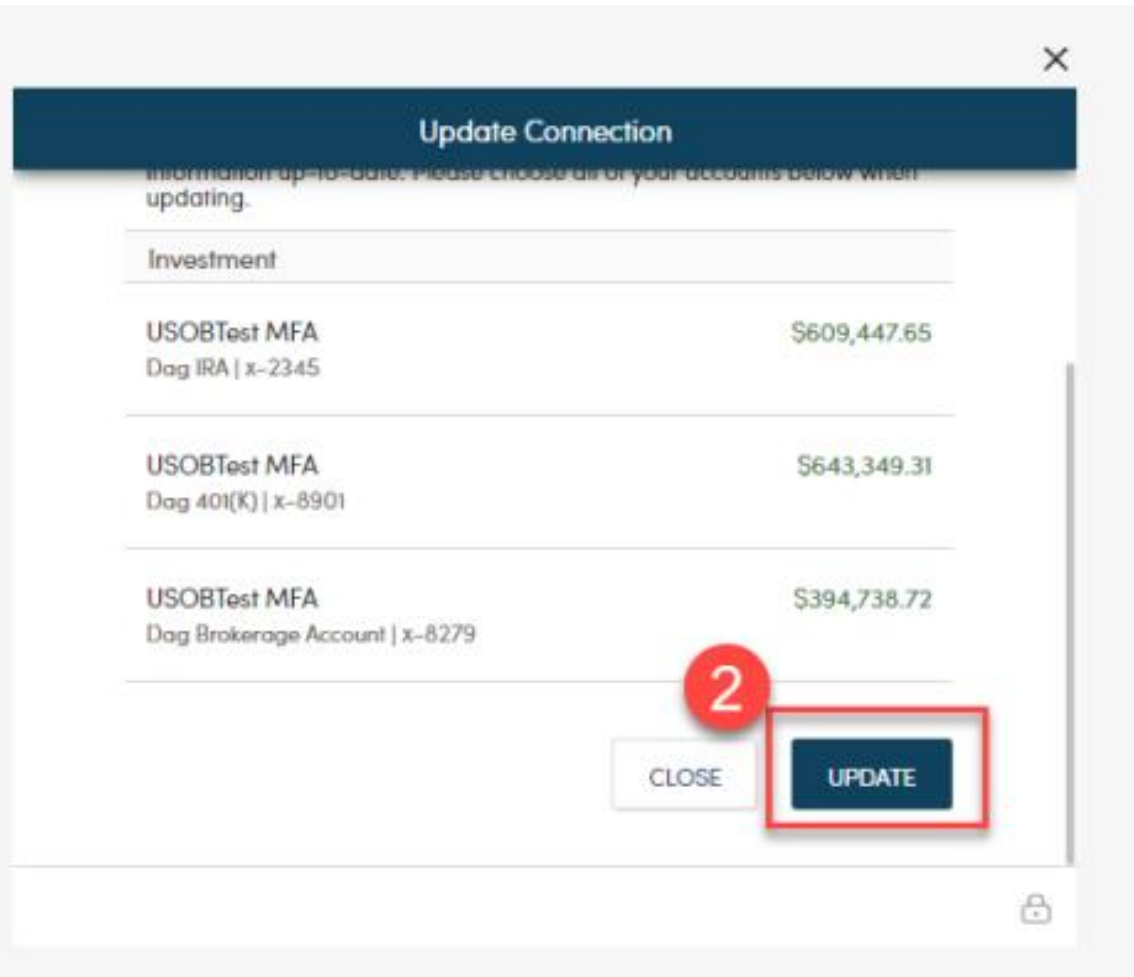
DATE OPENED: -- NICKNAME: N/A ACCOUNT BENEFICIARY: N/A

MANAGED ACCOUNT: Not Answered INVESTMENT DISCRETION: Not Answered

HISTORY
Created by Leanne Shapro on Feb 15 2022 6:24 pm
Last Modified by Leanne Shapro on Feb 15 2022 6:26 pm
[VIEW FULL HISTORY](#)

NOTES: --

MARK AS CLOSED DEACTIVATE FEED EDIT SETUP



*After step 3 the workflow may differ depending on the broker

Acme Capital Management

Personal Trading

TRANSACTIONS HOLDINGS **ACCOUNTS** SECURITY MASTER

More Filters User Search SHOW FULL ACCOUNT # SEE MY ACCOUNTS ONLY

USER	BROKER	ACCOUNT NAME	CONNECTIONS STATUS
<input type="checkbox"/> Leanne Shapro	USOBTest MFA	Dog IRA	Connection Active

ACCOUNT OWNER
Self

ACCOUNT TYPE
Aggregation

ACCOUNT BENEFICIARY
N/A

CONNECTION STATUS
● Aggregation Feed SUCCESSFUL as of Feb 16 2022 5:20 pm

REFRESH CONNECTION
VIEW CONNECTION LOG
EDIT LOGIN

MARK AS CLOSED DEACTIVATE FEED EDIT SETUP