

Every obligation, in one place.

Track every regulatory obligation across every branch and jurisdiction. Assign it to the right owner, start the clock when something happens and see what's due at a glance. No more spreadsheets, no more chasing.



The challenge: Regulated firms carry hundreds of obligations across regulators, jurisdictions and teams. Most still track them in Excel.

A spreadsheet is not a reliable register.

Obligations live in a spreadsheet someone built years ago. Owners change, deadlines move and rules get updated, but the sheet doesn't. You find out something was missed when the regulator asks.

- ✗ **Scattered spreadsheets**
One spreadsheet per team, branch or regulator.
- ✗ **No clear owner**
Everyone assumes someone else has it.
- ✗ **Missed deadlines**
Due dates typed in once and never rolled forward.
- ✗ **Events with no follow-up**
A breach triggers deadlines nobody is counting.
- ✗ **No audit trail**
No record of who did what, or when.
- ✗ **Change never stops**
New rules land and the register falls behind.

HOW COMPLYFIRST COMPARES

Obligations today

- ✗ Built by hand in Excel
- ✗ Owners named in a cell, if at all
- ✗ Events handled by email, with no set tasks
- ✗ Event deadlines tracked in inboxes
- ✗ Sign-off manually chased by email
- ✗ Rule changes picked up late
- ✗ One spreadsheet per branch, no group view

With Complyfirst

- ✓ Bring your tracker or start from our library
- ✓ Every obligation has an owner
- ✓ Event tasks created and auto-assigned for you
- ✓ Countdown timers on every statutory deadline
- ✓ Attestation campaigns for every sign-off
- ✓ Rule changes tracked and mapped by AI
- ✓ Branch view and group view in one place

WE'RE TRUSTED BY LEADING FINANCIAL INSTITUTIONS



How the Register of Obligations works

We track and maintain your obligations, so your teams know what they own, when it's due and what has changed.

HOW IT WORKS

- 1 Bring your tracker, or start from ours**
Upload your spreadsheets as they are, or start from our library of registers by jurisdiction and licence type.
- 2 Assign the right owners**
Every obligation is assigned to a named owner and approver, with clear accountability.
- 3 Log an event, the tasks follow**
Log a suspicion, complaint or breach and the right tasks are created and auto-assigned straight away. Each one carries its statutory countdown, and owners are alerted before time runs out.
- 4 Run attestation campaigns**
On a set cycle, each owner gets what they need to attest to or the action they need to complete. Every response is recorded with a full audit trail, and anything outstanding is chased automatically.
- 5 Track, evidence and sign off**
Owners update status and attach evidence. Reminders go out automatically.
- 6 Stay current**
AI tracks rule changes across your regulators and shows which obligations they affect. We flag what's new and update your register for you.

WHY COMPLYFIRST?



AI POWERED

Rule change tracking and a register you can question in plain English.



SECURITY

ISO 27001 certified, penetration tested, GDPR compliant with data hosted in the EU.



GLOBAL

All regulators and jurisdictions covered, with one register across every branch and entity.



SUPPORT

We take care of it all: uploads, owner set-up and keeping your register current. Plus, we're always a Slack or Teams message away.

“Using the platform felt like driving a well-designed new car: intuitive, easy to navigate, beautifully designed. 10/10!”

Adrian Witkowski, Head of Regulatory Reporting, SumUp

Still tracking in Excel? We can help.

Book a demo →



Fiona Jelly

CEO, Complyfirst
fiona@complyfirst.co
+44 (0) 7753 383 250



Dan Jelly

CTO, Complyfirst
dan@complyfirst.co
+44 (0) 7832 960 987