AlphaBridge

PUBLIC DOCUMENT DRAFT

Compliance Overview

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AlphaBridge is built for institutional investment research with compliance at the core. This page describes what we do today and what we are building.

Our approach

Expert networks are a legitimate research tool used by asset managers, hedge funds, private equity firms, and family offices worldwide. AlphaBridge provides infrastructure to connect investors with vetted experts while reducing MNPI and insider trading risk.

AlphaBridge does not provide investment advice.

What we do today

Expert vetting

- Multi-step expert application with CV, LinkedIn, portrait, and video screening
- Admin review before experts are approved
- Experts declare restricted topics and companies
- Compliance acknowledgement required before first call

Call compliance

- All calls are recorded and transcribed
- Recording consent required from all participants before joining
- Pre-call compliance notices and attestation
- Compliance restrictions captured on call requests
- Audit trail of call metadata and consent timestamps

Data protection

- GDPR-aligned Privacy Policy and data processing practices
- Subprocessor transparency (Firebase, LiveKit, OpenAI, GCS)
- Data retention schedules documented in our Privacy Policy

What we are building

The following capabilities are in active development:

- Automated MNPI screening on transcripts (AI-assisted flagging)
- Human compliance review queue before library publication
- Restricted company database with automated matching

- Client compliance portal (approve/block calls, audit exports)
- SOC 2 Type I certification

Until these features are live, marketing materials that reference them are labelled as illustrative or roadmap items.

MNPI policy

Material non-public information must not be shared on AlphaBridge calls. Experts and investors are responsible for compliance with applicable securities laws. If MNPI is inadvertently disclosed, participants must halt trading in affected securities and notify their compliance officer immediately.

Recording consent

Under German law (§ 201 StGB) and GDPR, call recording requires participant consent. AlphaBridge:

1. Displays a consent notice before every call
2. Requires explicit checkbox confirmation before joining
3. Logs consent timestamps per participant per call
4. Blocks room access without recorded consent

Institutional due diligence

Enterprise clients may request:

- Data Processing Agreement (DPA)
- Subprocessor list
- Compliance policies (MNPI, expert vetting, data retention)
- Security overview and SOC 2 report (when available)

Contact legal@alpha-bridge.co for vendor due diligence materials.

Contact

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