AlphaBridge

PUBLIC DOCUMENT DRAFT

Compliance Overview

DOCUMENT ID	compliance-overview
VERSION	2026-06-14
STATUS	Draft
OWNER	compliance

Sun Jun 14 2026 02:00:00 GMT+0200 (Central European Summer Time)

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AlphaBridge GmbH
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AlphaBridge is built for regulated institutional investment research. This page summarises the key pillars of our compliance programme. Institutional clients conducting vendor due diligence should request our full Compliance Whitepaper.

Expert vetting

Every expert on the platform is individually vetted before appearing in the directory. Vetting includes identity and employment verification, NDA and conflict-of-interest declaration, a video screening, and compliance onboarding covering MNPI obligations and platform rules. Experts must re-certify annually. See Expert Vetting Policy.

MNPI controls

Experts acknowledge before every call that they will not share material non-public information. Investors complete a pre-call MNPI attestation confirming they are not in possession of MNPI relating to the call subject. All calls are recorded for audit purposes. Transcripts undergo automated MNPI screening and compliance review before publication to the library. See MNPI Policy.

Call recording and consent

Every participant must provide explicit, per-call consent before joining. Consent is technically enforced — the call cannot start without it. Consent records are stored with every call record. The consent mechanism is designed to satisfy all-party recording consent requirements in Germany (§201 StGB, §201a StGB), the EU (GDPR), and applicable US states (California, Illinois, Florida). See Recording Consent Policy.

Data protection

AlphaBridge operates under GDPR as data controller for all platform data, supplemented by the BDSG in Germany. We maintain a Data Processing Agreement template for institutional clients. Expert call transcripts are published to our subscriber library as part of our core service; experts consent to this at call acceptance and may request exclusion or removal at any time. Subprocessor transparency is maintained in our public Subprocessor Register. See Privacy Policy · Cookie Policy · Privacy Choices.

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Expert Code of Conduct

All experts accept a standalone Expert Code of Conduct at onboarding covering accurate self-representation, MNPI obligations, no investment advice, professional behaviour, and post-call trading restrictions. The Code of Conduct is publicly available. See Expert Code of Conduct.

Anti-bribery and ethical conduct

AlphaBridge operates a zero-tolerance anti-bribery policy compliant with the UK Bribery Act 2010, US FCPA, and German §§ 299, 333–335, 335a StGB. A whistleblower channel is available for reporting concerns, with protections under the German Hinweisgeberschutzgesetz (HinSchG). See Anti-Bribery Policy and Whistleblower Policy.

Security

We use TLS 1.2+ for all data in transit, encryption at rest for recordings and personal data, role-based access controls, MFA, and audit logging. Security researchers may report vulnerabilities via our Vulnerability Disclosure Policy.

Modern slavery

We publish an annual Modern Slavery Statement in accordance with the UK Modern Slavery Act 2015.

Questions

Compliance enquiries: **legal@alpha-bridge.co** Privacy enquiries: **privacy@alpha-bridge.co** Full due diligence documentation: request via legal@alpha-bridge.co

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