

Apiax uncovers how financial firms are tackling compliance challenges in marketing and sales

*Zürich, May 15, 2025 - Apiax, a leading provider of embedded compliance solutions for the financial industry, today released its inaugural, industry-backed **Content Compliance Black Book**, uncovering the challenges financial institutions face in creating, reviewing, and approving compliant marketing and sales materials.*

In today's competitive environment, client-facing teams—including relationship managers, portfolio managers, and distribution specialists—depend heavily on marketing brochures, pitch books, slide decks, and personalised presentations to showcase their services. Ensuring these materials meet stringent compliance requirements is critical. At Apiax, we define this essential process as **Content Compliance**.

When non-compliant materials are shared externally, they not only expose firms to significant legal and regulatory risks but also jeopardize their reputation. In an era where distributed content can easily become evidential in regulatory investigations, robust Content Compliance processes are more vital than ever. Yet, survey results reveal that many firms still rely on manual, inefficient methods, such as spreadsheets, to manage content compliance — leaving them vulnerable.

The *Content Compliance Black Book* brings together first-hand insights from both **Content Creators** (front-office roles) and **Content Reviewers** (legal, compliance, and other control functions). It offers a detailed view of how financial institutions apply, maintain, and adapt compliance standards across tailored marketing and sales materials—areas where content compliance management is particularly complex and critical.

Key findings from the report include:

- **97%** of respondents require case by case compliance approval before marketing content can be shared externally.
- Between **50–60%** of both content creators and reviewers are unhappy or very unhappy with their current compliance workflows.
- **31%** of content creators still rely on spreadsheets to manage compliance processes — despite the associated operational risks.

The survey highlights a clear consensus among financial institutions: there is an urgent need for more efficient, effective, and technology-enabled approaches to managing Content Compliance.

With the *Content Compliance Black Book*, Apiax aims to provide industry professionals with the insights, frameworks, and tools they need to modernize their content compliance processes—helping firms safeguard their reputations, reduce regulatory risks, and accelerate go-to-market speed with confidence.

Philip Schoch, CEO, Apiax commented:

Content compliance has become a strategic priority for financial institutions navigating increasingly complex regulatory environments. With the Content Compliance Black Book, we're shining a light on the daily challenges faced by client-facing and compliance teams alike—and providing the industry with a path toward smarter, faster, and more cost effective practices. Our goal is to empower firms to run a more effective compliance function at a fraction of the cost."

Ralf Huber, Co-Founder, Apiax commented:

During my time as a Compliance Manager in asset and wealth management, my team and I faced Content Compliance challenges firsthand: sales and marketing teams needed real-time compliance approvals for pitchbooks, while compliance teams often lacked the resources and the nuanced, country-specific regulatory expertise to keep up. Today, with the right tools, leading firms can overcome these hurdles efficiently—allowing them to shift focus from firefighting to scaling their business.

About Apiax

Apiax is an independent software vendor, partnering with EY, KPMG, Microsoft, Seismic and others, who provides innovative solutions for ensuring compliance with complex financial regulations through digitalization and integration into business processes. Headquartered in Zurich and with offices across Europe and Asia, Apiax is a trusted partner of many global financial institutions in navigating the complexities of the financial regulatory landscape.

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