

8 Steps to Build a Compliance Audit Trail in Satuit

SEC scrutiny on investor communication recordkeeping keeps tightening, and generic CRMs like Salesforce and HubSpot were not built to capture it automatically. A real audit trail has to log communications, restrictions, compliance status, and every change, without relying on someone remembering to do it by hand. Here are eight steps to build that trail inside Satuit.

- 1 Log every investor communication**
Capture the date, participants, channel, a summary, and any commitments made for every material interaction with an investor or prospect.
- 2 Track marketing material distribution**
Keep records showing materials went only to eligible recipients, including compliance with side letter restrictions.
- 3 Monitor compliance documentation status**
Track KYC and AML documentation currency, regulatory classifications, GDPR consent records, and jurisdiction specific requirements in one place.
- 4 Connect portal access and document delivery logs**
Record investor portal activity, document distributions, capital call confirmations, and login events automatically.
- 5 Log every material change with a timestamp and user ID**
Capture edits to contact information, compliance status, marketing eligibility, and fund participation, including who made the change and when.
- 6 Set role based access controls**
Limit who can view or edit sensitive records so access matches each person's actual responsibilities.
- 7 Link signed documents directly to the record**
Connect DocuSign documentation to the relevant investor or compliance record instead of storing it separately.
- 8 Test the trail on a schedule**
Run quarterly compliance audits, test the portal trail annually, and keep logging standards consistent across the firm so email and marketing activity flow into the CRM record automatically.

A compliance audit trail is not a document you produce when the SEC calls. It is a habit built into daily CRM use: consistent logging, enforced restrictions, and a record of every change, so that when an examination happens, the trail is already there.