



Financial Services

*Compliance
Program
Management*

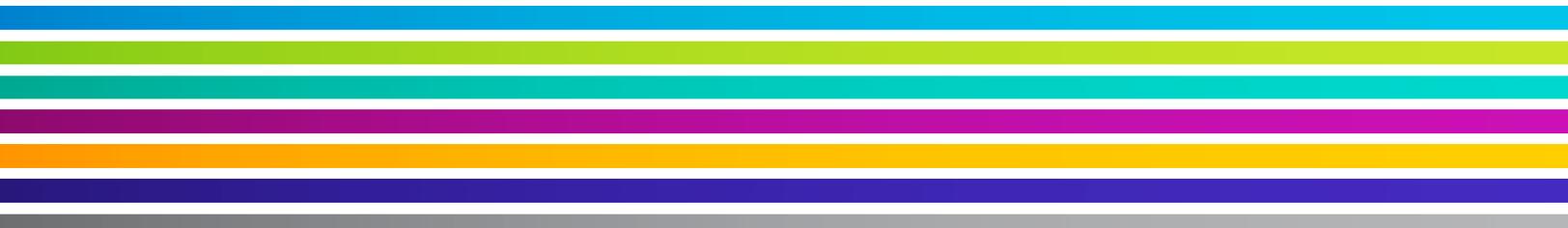




Compliance Is Changing. So, Too, Are Expectations for Compliance Professionals

Financial services organizations face an increasingly complex and demanding regulatory environment. Increased scrutiny from regulators, demands from stakeholders for greater transparency and a desire for insightful business analytics are stressing manual approaches to compliance management to the breaking point.

Compliance professionals are faced with the need to not only effectively manage and monitor daily compliance, but also watch the market closely for emerging compliance risks, educate stakeholders on the business impact, remediate any issues quickly, and report on the status of key compliance risks.





Today, the Compliance Department must become part of strategic decision making processes. Regulators are enforcing this position with new and updated requirements for risk-based or strategically-aligned risk management practices that include compliance operations. Traditional approaches to compliance do not meet these expanded obligations. Rather, they actually hinder it in many ways and simply cannot provide the level of insight and awareness that companies need.

To be successful, compliance professionals must be supported by solutions that provide technology, content, and analysis that improve understanding and help to quickly identify compliance risks and their business impact.

Furthermore, these systems need to demonstrate compliance to other parties, both internal and external, to help drive larger business decisions and achieve both regulatory readiness and accountability across the organization.



Introducing OneSumX[®] for Compliance Program Management from Wolters Kluwer

OneSumX for Compliance Program Management provides a comprehensive set of solutions for managing your organization's regulatory compliance requirements. Populated with industry leading content, it enables organizations to stay up-to-date with regulatory obligations and brings together all of the relevant data into a single system, enabling organizations to make intelligent business decisions around their compliance and regulatory risk.

When designing our OneSumX for Compliance Program Management solution, we sought to create a comprehensive system that brought together all component processes, providing compliance professionals the downstream capability they need to manage key programs from a single reporting system. Identifying the seven components of such a holistic, integrated system – and mapping them along our customers' compliance journey – was imperative.

Regulatory Insight

Regulatory Change Management

Compliance & Ethics Governance

Compliance Risk & Controls Assessment

Compliance Testing

Complaint Management

Exam & Inquiry Management

Regulatory Insight

Understanding regulatory requirements is the first step towards a solid compliance program. Our solution provides a comprehensive database of Wolters Kluwer curated content including both primary and third party resources. This content, analysis, and news that can be quickly sorted and filtered by jurisdiction, line of business, and topic.

Regulatory Change Management

Having a strong compliance management system today means being prepared for the regulatory changes that are coming tomorrow. Our solution helps organizations access and aggregate the latest changes as well as assign tasks and track the changes and implementation of those changes across the organization.

Compliance & Ethics Governance

Our solution allows compliance officers to monitor their Code of Ethics and track employee activity, empowering them to mitigate potential conflicts of interest. Compliance officers, managers, and employees have access to separate portals to perform and track certifications, pre-clear trades, monitor and approve Gift & Entertainment requests, and report on Political Contributions and Outside Business Activities.

Compliance Risk & Controls Assessment

Populated with a “best practice” risks and controls library written by Wolters Kluwer’s experts, organizations use OneSumX to manage and define their highest compliance risks and evaluate the associated mitigating controls.

Compliance Testing

Testing ensures that policies, procedures, and other compliance controls are effective in your organization. OneSumX allows your organization to design and manage your compliance testing program. Within the system, compliance officers assign resources, design checklists and reports, and effectively identify issues.

Complaint Management

Managing complaints from multiple sources, analyzing them for potential specific compliance infractions, analyzing complaints in the aggregate, and preparing reports for regulators and stakeholders can all be done in our proprietary system.

Exam & Inquiry Management

Whether it is from an exam finding or internal testing, it is imperative that any infractions be identified and resolved in a timely manner. OneSumX allows organizations to record, classify, prioritize, and monitor the fulfillment of all outstanding issues and actions.



Let OneSumX for Compliance Program Management Help You Take the Next Step in Your Compliance Journey

OneSumX for Compliance Program Management helps compliance professionals efficiently measure, monitor, and manage their compliance programs with confidence. Developed with our customer needs in mind, each of our seven programs feed into our central CPM interface, delivering a single view of regulatory risk that can be articulated across the entire organization. With such interconnected topics such as risk and controls, tests, policies and procedures, and regulatory change, our solution provides a common language, approach, and methodology in which all parts of your compliance program can intersect.

This same universality applies to its application – no matter the size, complexity, or maturity of your compliance program, OneSumX for Compliance Program Management can offer a solution to meet your organization's needs. Our team of compliance experts will work with you and your organization to help identify the weaknesses and strengths of your program, plot your progress towards key maturity goals, and present a roadmap to help you achieve a stronger and more proactive compliance program.

With data reports that originate directly from our software, compliance professionals can demonstrate the progress an organization has made and better provide recommendations for improvement. These reports are also useful for other internal and external stakeholders, such as auditors and board members, ensuring greater transparency.

This is all paired together with our goal of utilizing technology to help you better focus on your job as a compliance officer. That means taking over the administrative burden that often accompanies diligent compliance work and automating processes that can save compliance professionals hours of valuable time a week.

No matter the size, complexity, or maturity of your compliance program, **OneSumX for Compliance Program Management** can offer a solution to meet your organization's needs.

The CPM Edge

- A continuously expanding regulatory library, providing you with growing state, federal, and global coverage
- Wolters Kluwer Subject Matter Experts that bring together global content and proven, intelligent financial technology
- A solution as flexible as you are - pick the components that are right for you, and scale to your organization's need

A photograph of three business professionals (two men and one woman) in a modern office setting, standing on a balcony or mezzanine level with a metal railing. They are engaged in a conversation. The woman in the center is smiling and gesturing with her hands. The man on the left is also smiling and looking towards her. The man on the right is looking towards the woman and has his hands on the railing. The background shows a complex ceiling structure with skylights and metal beams. A blue rectangular graphic element is visible in the top left corner. A vertical stack of colored rectangles (blue, green, teal, purple, orange, dark purple) is located on the right side of the page.

Whether you require expertise, a content source or automation, Wolters Kluwer and our OneSumX for Compliance Program Management solution can help you build a regulatory intelligence strategy and process that provides long-lasting, sustainable improvements to your organization.

Contact us today to learn how our solutions can be tailored to your specific situation. Please visit [WoltersKluwerFS.com](https://www.wolterskluwerfs.com) or call 1-800-261-3111.

About Wolters Kluwer Governance, Risk & Compliance

Governance, Risk & Compliance (GRC) is a division of Wolters Kluwer, which provides legal and banking professionals with solutions to ensure compliance with ever-changing regulatory and legal obligations, manage risk, increase efficiency, and produce better business outcomes. GRC offers a portfolio of technology-enabled expert services and solutions focused on legal entity compliance, legal operations management, banking product compliance, and banking regulatory compliance.

Wolters Kluwer (AEX: WKL) is a global leader in information services and solutions for professionals in the health, tax and accounting, risk and compliance, finance and legal sectors. Wolters Kluwer reported 2018 annual revenues of €4.3 billion. The company, headquartered in Alphen aan den Rijn, the Netherlands, serves customers in over 180 countries, maintains operations in over 40 countries and employs 19,000 people worldwide.

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