



# Compliance Risk Indicator

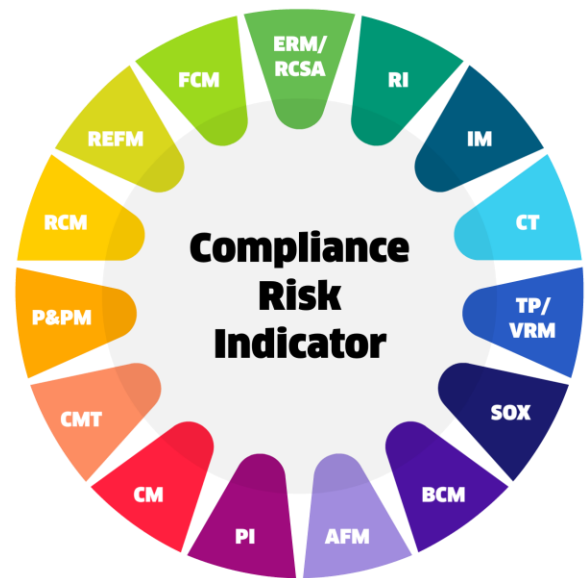
## Compliance Management

### Your Compliance Management Solution

FIS' Compliance Management applications are part of the Compliance Risk Indicator Risk and Compliance Intelligence Platform. Built on artificial intelligence (AI) Compliance Risk Indicator automates many tasks and workflows while improving the quality and value of compliance and risk activity execution through a single platform. The technology creates risk and regulatory relationships between all activities in an organization and provides visibility into where risks intersect – providing stakeholders a deeper, wider and holistic view of risk and compliance.

Compliance Management applications bring together the next-generation compliance tools and technologies into one compliance intelligence platform. This synergy enables it to revolutionize the way businesses handle compliance. Instead of reacting to compliance issues, businesses can proactively detect emerging issues and concerns. The Compliance Risk Indicator Compliance Intelligence Platform includes several tools and solutions.

Compliance Risk Indicator optimizes compliance management with compliance monitoring, activity management and artificial intelligence.



## Compliance Management Applications

- Complaints Management (CM)
- Compliance Monitoring and Testing (CMT)
- Policy & Procedure Document Management (P&PM)
- Regulatory Change Management (RCM)
- Regulatory Examination & Findings Management (REFM)
- Fintech Compliance Management (FCM)

## Benefits

- A single compliance platform for all compliance related information, data, discussion and documents
- Executive dashboards that show real-time compliance intelligence and data to enable proactive compliance management
- Streamlined compliance workflow processes for different compliance related activities and users
- Easy to implement cloud-based compliance management solution
- Integrates with other Compliance Risk Indicator solutions for complete GRC management under a single system
- Decreases costs of compliance by completely automating compliance monitoring, reducing workload, and increasing efficiency of catching violations
- Integrated compliance management calendar and a customizable compliance executive dashboard

## Key Features

- Manage, track, collect evidence and collaborate on all compliance-related activities including complaints, cases, investigations and other issues

- Assess risks from various regulatory requirements and determine compliance monitoring and testing schedules (commonly referred to as compliance QC or QA) based on those risk ratings
- Manage, track, collect evidence and collaborate on all compliance-related activities between the bank and any fintech companies serviced (“banking-as-a-service”), including complaints, marketing requests, and other types of compliance-related requests between the fintech and bank
- Manage all aspects of the document lifecycle related to policies and procedures
- Track regulatory requirements, updates, changes, news, and notifications, and then manage all activities and documents associated with those regulatory changes across the organization.
- Manage process and workflow associated with preparing for and managing regulatory examinations, as well as tracking and managing the findings from those examinations.

## Complaints Management (CM)

- A configurable workflow engine supports unique workflow processes for different types of issues, tasks and incidents with easy-to-use data collection forms and automated alerts
- Automatic notifications and due dates can be distributed via email to related parties and owners
- A calendar provides visibility to all compliance issues being managed and associated due dates
- Dashboards and reports provide complete visibility in real-time to the status of all compliance-related issues to compliance owners, manager, senior executives and boards members

## Compliance Monitoring and Testing (CMT)

- Automating and managing test series scheduling, execution and notifications

- Mapping tests to regulations, providing procedure documents and checklist templates to users, and assigning questionnaires for testing and reviews
- Collecting data and documentation associated with the testing activities, including work papers, collaboration notes and an audit log of all activities performed for each compliance test
- Assigning and enforcing due date milestones for completion and escalation notifications
- Automating the review and approval workflow/process routing with email-based notifications
- Generating Word-based closing memos/reports with one click using templates
- Providing real-time visibility to the status of open and planned compliance monitoring activities
- Evaluating the impact that the change will have on the organization
- Creating and managing the implementation/ project plan and all associated tasks and activities, including coordinating activities across the entire organization, business units and product lines. Due dates, notifications/escalations and assignment of sub-tasks are all supported
- Notifying all relevant parties across the organization associated with that regulation of the regulatory change/update
- Provide evidence of all activities and documentation associated with regulatory updates, even including regulatory changes that were read but determined not applicable to the organization

## Policy and Procedure Document Management (P&PDM)

- Complete document lifecycle management to ensure compliance with the latest compliance rules and regulations
- Complete control over document security. Control who has rights to view, download, edit and share documents
- Reduce compliance and audit costs with electronic signatures, revision controls and audit trails
- Preconfigured workflow tools and features to facilitate review, approval, check-out, modification and access of documents from a single source in a seamless way

## Regulatory Change Management (RCM)

- Documenting regulatory changes/updates and assessing their applicability to the organization

## Regulatory Examination and Findings Management (REFM)

- Capturing all the details associated with the regulatory examination
- Identifying ownership and team members who will respond to the regulatory examination
- Responding to and managing pre-audit requests and questionnaires
- Tracing all activities and tasks of various internal and external parties
- Managing due dates, notifications, and escalations of any commitments from a team member
- Capturing all supporting documentation and workpapers in a timely manner and storing those in a central repository
- Managing all collaboration notes and comments from team members
- Recording findings and recommendations from the regulatory examiners, as well as the action

# Compliance Risk Indicator - Compliance Management



plan, action items and commitments by the internal owners to address the findings

- Providing a complete audit history log of all collaboration notes, supporting documentation and completion dates for evidence

## Fintech Compliance Management (FCM)

- A configurable workflow engine that supports unique workflow processes for different types of tasks, complaints and requests with easy-to-use data collection forms and automated alerts

- Automatic notifications and due dates that can be distributed via email to related parties and owners
- A calendar providing visibility to all compliance issues being managed and associated due dates
- Dashboards and reports which provide complete visibility in real-time on the status of all compliance-related issues to compliance owners, managers, senior executives and boards members

## Contact Us

For more information about Compliance Risk Indicator and the Compliance Management Applications, visit <http://www.fisglobal.com> or call 877.776.3706.