

# Compliance Program Management

SOLUTION OVERVIEW

## Additional features

### Compliance calendar

The customizable compliance calendar can be filtered to view the responsibilities of specific individuals, teams, regulatory bodies, offices and more.

Integrate the calendar with your Outlook, Google Calendar or other calendar programs.

### Multiple levels of approval

Customizable approval hierarchies let compliance teams standardize approval processes for tasks which require review or notification of completion.

### Complete customization

Each firm can tailor compliance program management forms to meet its own needs, including the incorporation of firm- or department-specific projects and language.

Compliance Program Management is a fully integrated compliance calendar to manage your entire compliance program in one location, with full transparency into all compliance activities and without third party apps or plug-ins. Custom-built to meet the needs of compliance teams in today's increasingly complex regulatory environment, Compliance Program Management automates and streamlines the coordination of compliance responsibilities and deliverables.

## Keep your team on track

Manage and track recurring or ad-hoc compliance tasks in the integrated compliance calendar to ensure your compliance team meets regulatory responsibilities and deadlines. Schedule certification and reporting events, regulatory deadlines and team notifications. Assign roles and responsibilities, establish a hierarchy of approvals and build fully customizable workflows for your team to collaborate efficiently and effectively.

Integrate your Compliance Calendar with Outlook, Google Calendar and other calendar software to ensure everyone has visibility into compliance activities.

## Consolidate data

Link data in ComplySci, such as preclearance requests, certification events and employee trades, with tasks in the compliance calendar to reduce manual effort and increase efficiency. Establish a single source of truth and manage the full lifecycle of a task by consolidating data from multiple systems into a single platform, accessible to compliance teams anytime, anywhere.

## Increase transparency

Compliance Program Management makes it simple to demonstrate a robust, complete and effective compliance program to regulators and executives. Tie compliance tasks to policies, procedures and regulations, and run reports, which detail compliance activities, outcomes and firm actions. Identify any gaps to swiftly reallocate resources or responsibilities as necessary, ensuring compliance deadlines are met and annual compliance reviews are simplified.

### Unlock the value of your compliance program

When regulators ask how your firm is meeting its regulatory obligations, will you be able to easily retrieve data which demonstrates your firm's commitment to compliance? Compliance Program Management can help.