



## FUSION COMPLIANCE MANAGEMENT

# A Change Management System Designed to Keep Institutions Ahead of the Regulatory Burden

Fusion Compliance Management automates a financial institution's compliance program and provides industry-leading compliance content to support better risk-based decisions.



For over 30 years Finastra's solutions have set the industry standard for loan document compliance. With over four million loans documented in Fusion LaserPro each year, Finastra helps institutions of all sizes navigate the ever changing regulatory and supervisory landscape."

### The Challenge

Compliance Managers are under pressure to manage the rising cost of compliance and monitor an increasing number of complex regulations affecting their institution. Regulators want to see proper change management systems that enable effective implementation of regulatory requirements across the institution.

Today, many institutions struggle with inconsistent, siloed and manual risk assessment processes that are costly, time consuming and increase risk exposure. Financial institutions need a solution that eases the compliance burden, saves time and reduces risk.

### Why Finastra's Compliance Management System?

The Federal Financial Institutions Examination Council update to the Uniform Interagency Consumer Compliance Rating System, effective April 1, 2017, emphasizes the importance of institutions' CMS with emphasis on compliance risk management practices designed to manage consumer compliance risk, support compliance, and prevent consumer harm.

# Manage the Regulatory Burden With Fusion Compliance Management

Fusion Compliance Management assists institutions in meeting examiner expectations for board and management on:

- The oversight and commitment to your institution's CMS
- Effectiveness of the institution's change management processes
- Comprehension, identification, and management of risks arising from your institution's products, services, or activities
- Self-identification of consumer compliance issues and corrective action undertaken as issues are identified

As the industry leader in lending compliance software, Finastra developed a new solution that helps the financial institutions meet these requirements.

## Key Features

- Federal and State compliance updates designed to keep the compliance team informed of legal, regulatory and compliance changes.
- A secure, password-protected database that centralizes compliance initiatives with an automated workflow including risk assessments, controls and mitigation plans, and implementation plans.
- Industry-leading and customizable risk assessment templates that provide consistent, measurable, and repeatable compliance assessments.

- Compliance checklists designed to assist in analyzing and documenting applicability of changes.
- Comprehensive risk reports with Industry Risk Comparisons for management, the board and compliance committee, auditors and regulators.
- Task management along with suggested tasks, allowing for quick identification of potential gaps in your risk mitigation and implementation planning.
- Fully auditable event logs detailing assessment process.
- Compliance Discussion Boards for your team.
- Control and Mitigation Plan Document Management.
- Customizable taxonomy for the institution's LOBs and Products.
- Automated Risk Threshold Settings for Board/Compliance Committee Oversight.
- Automated Risk Notifications.
- All backed by Finastra's in-house compliance attorneys and compliance professionals, in addition to our outside network of legal counsel representing 54 of the preeminent financial institution lending lawyers in the United States
- Training Management provides a premier knowledge assessment tool that helps financial institutions grow profitability and manage risk by measuring how well employees understand and apply changes to regulations and policy in real world scenarios.

## What Sets Finastra Apart



### Trust

More than 9,000 financial institutions worldwide rely on our industry-leading compliance solutions.



### Compliance Expertise

Finastra's compliance team has more than 300 years of combined experience, as well as an unrivaled network of Federal and State legal experts.



### Connectivity

Tap into our complete network of lending solutions.



### Scale

Every lending solution we develop is flexible and can grow with your business.

## Fusion Compliance Management

Features	Essential	Premium
Users	Single User	Unlimited Users
Dashboard	Basic	Premium with Industry Risk comparisons
Compliance Reports	Basic	Premium, Configurable reports with industry risk comparisons
Compliance Center	✓	✓
Task Management	✓	✓
Audit Logs	✓	✓
Customer Support	✓	✓
Automated Workflow and Notifications	✓	✓
Configurable Compliance Update Emails	✓	✓
Compliance Inventory with Automated Compliance Tracking	✓	✓
Premium Compliance Inventory with Risk Assessments and Create Your Own		✓
Compliance Monitoring		✓
Assign/Re-assign Risk Assessments		✓
Comments and Notes Board		✓
Create Your Own Customizable Risk Assessments		✓
Customizable Institution Taxonomy Tags		✓
Automated Risk Threshold Controls		✓
Risk Response Strategy Tracking		✓
Compliance Training Management		✓
Content for Compliance Updates	Federal	Multi-State

## About Finastra

Finastra unlocks the potential of people and businesses in finance, creating a platform for open innovation. Formed in 2017 by the combination of Misys and D+H, we provide the broadest portfolio of financial services software in the world today—spanning retail banking, transaction banking, lending, and treasury and capital markets. Our solutions enable customers to deploy mission critical technology on premises or in the cloud. Our scale and geographical reach means that we can serve customers effectively, regardless of their size or geographic location—from global financial institutions, to community banks and credit unions.

Through our open, secure and reliable solutions, customers are empowered to accelerate growth, optimize cost, mitigate risk and continually evolve to meet the changing needs of their customers. 90 of the world's top 100 banks use Finastra technology.

Please visit [finastra.com](http://finastra.com)

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