

Factsheet – Compliance Management

A change management system designed to de-stress regulatory compliance across your enterprise

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



Manage regulatory burden



Support risk-based decisioning



Increase operational efficiency



Enhance loan portfolio growth

The challenge

In a dynamic regulatory environment, Compliance Managers are under pressure to not only control risk, but also manage the rising costs of compliance.

Financial 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.

A single solution for your enterprise need

Regulators are on the watch for compliance management systems with emphasis on compliance risk management practices designed to manage consumer compliance risk, support compliance and prevent consumer harm.

Strengthen your compliance management system with Compliance Management.

Compliance Management assists financial organizations in meeting examiner, board and management expectations.

- Oversight and commitment to your institutions compliance management system (CMS)
- Effectiveness of your institution's change management process
- Comprehension, identification and management of risks arising from products, services and activities
- Self-identification of enterprise wide compliance issues and corrective action plans

Efficiently navigate regulatory compliance with Compliance Management.

	Essential	Premium
Description	Single user with limited feature access and compliance updates. Perfect for small organizations getting used to using a Regulatory Compliance Management System.	Unlimited feature and content access for your compliance team with configurable compliance tools. Perfect for more complex compliance teams ready to use an automated Regulatory Compliance Management System.
Users	Single User	Unlimited Users (with linked Microsoft Login)
Dashboard	Basic	Premium Dashboard with Consolidated Compliance Risk View and Compliance Calendar
Reports	Basic	Premium Downloadable Reports for all Your Compliance Risk Items and Risk Assessments
Risk Framework	Pre-Configured Federal Regulatory Risk Inventory	Essential + Configurable Federal Regulatory and Compliance Risk Inventory with Integrated Risk Assessments
Risk Assessment Template	Pre-Configured	Configurable Compliance Risk Assessment Templates
Task Management w/ Assignable Tasks	✓	Manage All Compliance Tasks
Risk Finding Tracking		Report, Track, Assess and Mitigate Risk Findings for Your Compliance Items
Risk Assessments Comments and Notes Board		✓
Create Your Own Customizable Risk Assessments		✓
Customizable Institution Taxonomy Tags		✓
Automated Risk Threshold Settings with Risk Response Strategy Tracking		✓
LaserPro Compliance Warnings Reports with Predictive Analytics		✓
Content	Federal	Federal and Multi-State

About Finastra

Finastra is a global provider of financial software applications and marketplaces, and launched the leading open platform for innovation, FusionFabric.cloud, in 2017. It serves institutions of all sizes, providing award-winning solutions and services across Lending, Payments, Treasury & Capital Markets and Universal Banking (digital, retail and commercial banking) for banks to support direct banking relationships and grow through indirect channels, such as embedded finance and Banking as a Service. Its pioneering approach and commitment to open finance and collaboration is why it is trusted by ~8,600 institutions, including 90 of the world's top 100 banks. For more information, finastra.com

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