




Factsheet – Finastra Compliance Management


# A change management system designed to de-stress regulatory compliance

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

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Manage regulatory burden
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Support risk-based decisioning
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Increase operational efficiency
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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**

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.

- Features**
- 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 compliance issues and corrective action plans

Finastra’s Compliance Management solution efficiently navigates evolving regulatory requirements

	Essential	Premium
Description	Unlimited users 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	Unlimited users	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	Federal Regulatory Risks	Configurable Federal & Multi-state Regulatory Risk Framework
Risk Assessment Template	Pre-Configured	Configurable Compliance Risk Assessement 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 Customibizable Risk Assessments		✓
Customizable Insitution Taxonomy Tags		✓
Automated Risk Threshold Settings with Risk Response Strategy Tracking		✓
LaserPro Compliance Warnings Reports with Predictive Analytics		✓
Content	Managed Compliance Risk Assessments published by Finastra for Limited Federal Consumer Protection Laws and Regulations. Access to Finastra’s compliance articles and federal <b>regulatory feeds</b> .	Managed Compliance Risk Assessments published by Finastra for Limited Federal Consumer Protection Laws and Regulations. Access to Finastra’s compliance articles and federal regulatory feeds.
Implementation	Self-Serve Implementation and Training	Self-Serve Implementation and Training

About Finastra

Finastra is a global provider of financial services software applications across Lending, Payments, Treasury and Capital Markets, and Universal (retail and digital) Banking. Committed to unlocking the potential of people, businesses and communities everywhere, its vision is to accelerate the future of Open Finance through technology and collaboration, and its pioneering approach is why it is trusted by ~8,100 financial institutions, including 45 of the world’s top 50 banks. For more information visit [finastra.com](#)

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