

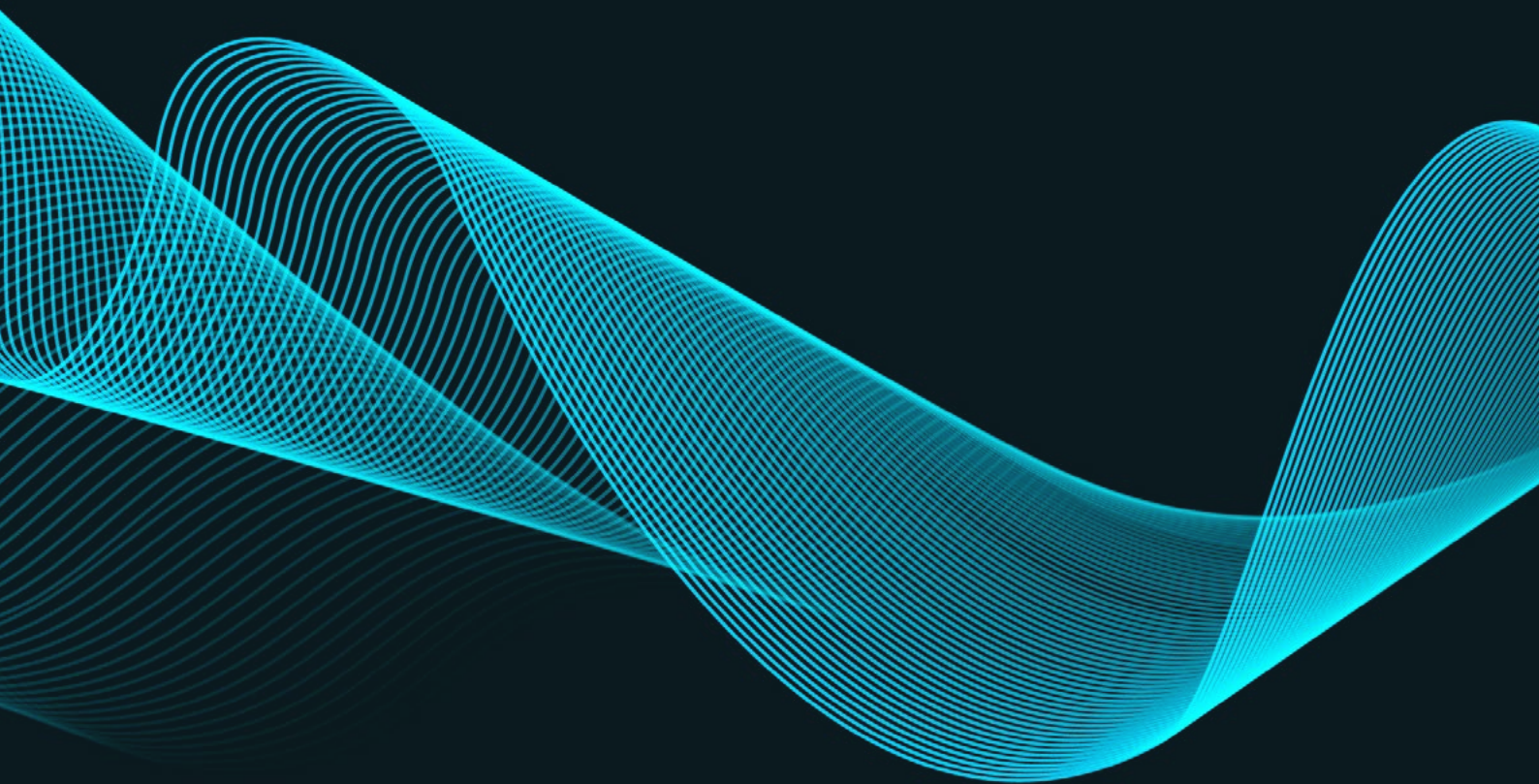


REGSIGHT

Financial Crime  
Compliance  
Obligations Register

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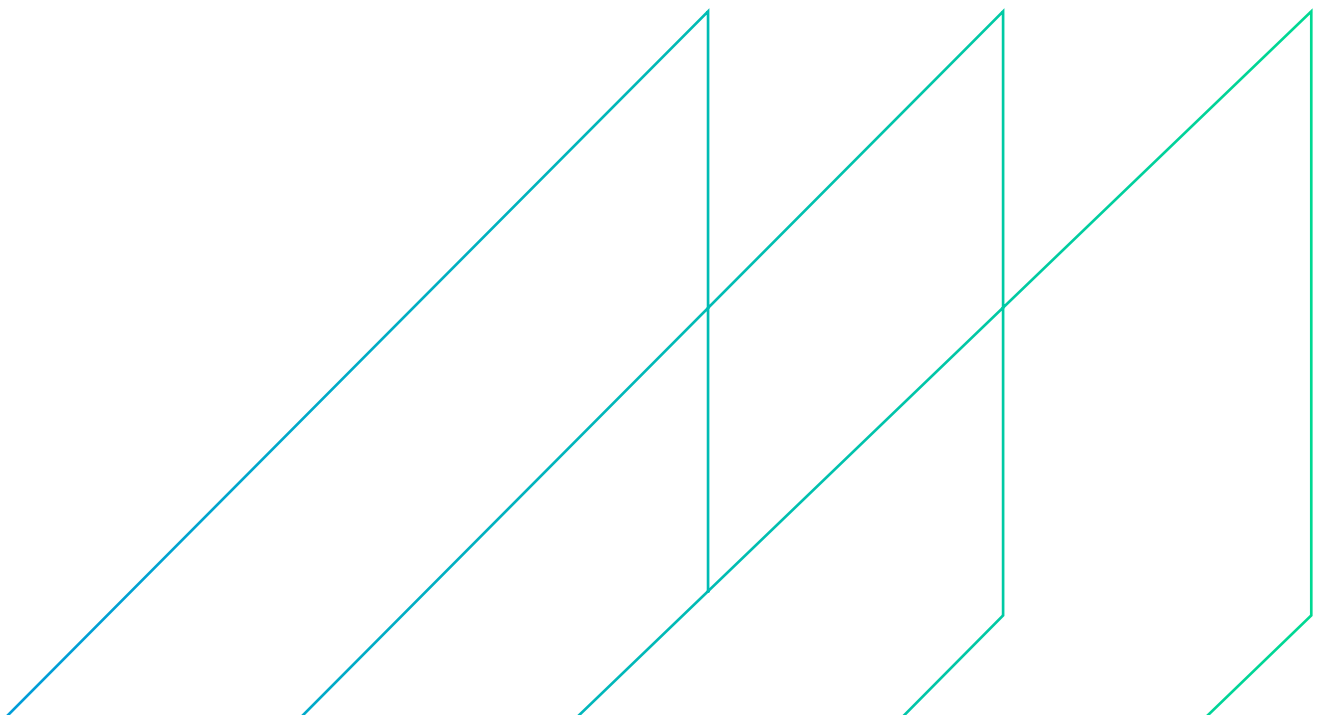


# Focus on Financial Crime Compliance Obligations Management

In a world of ever-increasing regulation and heightened regulatory scrutiny, demonstrating that a financial institution is working diligently to meet its legal and regulatory Financial Crime Compliance (FCC) obligations has become a commercial and social imperative.

Failing to meet FCC obligations significantly increases your organisation's exposure to regulatory enforcement action, along with the cost of the associated fine, potential reputational damage, and impact to investor confidence.

Despite this exposure, many financial institutions either do not have in place a comprehensive Obligations Register or maintain a solution that adds complexity and unnecessary costs, and all too-often does not provide compliance teams with the assurance they need.





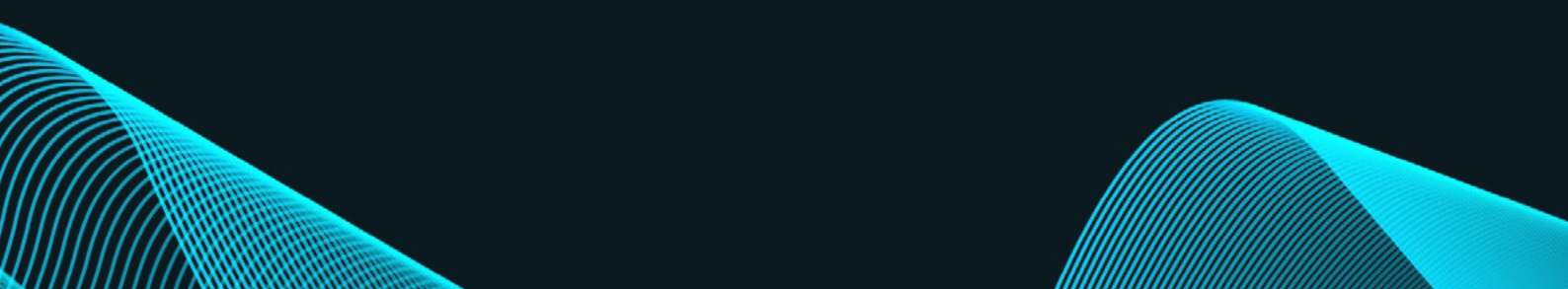
That's why financial institutions are turning to Plenitude RegSight, an innovative cloud-based obligations management solution, which:

- ✓ Enables quick and easy identification of specific legal and regulatory obligations across a multitude of sources, jurisdictions, compliance domains, and key topics, along with the corresponding regulatory and industry guidance.
- ✓ Provides proactive horizon scanning and enables you to anticipate changes in relevant laws and regulations.
- ✓ Enables rapid assessment between laws, regulations, and guidance and your organisation's policies and procedures, to demonstrate lineage and to identify potential compliance gaps.

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**Plenitude RegSight is the simplest and most effective way to manage your Financial Crime Compliance obligations and provides assurance that your organisation is meeting these obligations, in a world of ever-increasing regulation and heightened regulatory scrutiny.**

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# Counting the Cost of Non-Compliance

Many firms do not appreciate the need for a comprehensive Obligations Register, some key questions to ask yourself are:

*Could you demonstrate to the regulator how your existing Policy Framework across all policies and procedures meets applicable laws, regulations and guidance with full traceability?*

*How do you stay on top of every regulatory update and have you faced a situation where you have had limited time to implement new obligations due to late identification?*

*Are you able to immediately identify which Policy Framework documents are impacted by new regulations and implement the required changes?*

*How do you integrate disparate obligations management processes easily and cost-effectively?*

*How much are you currently spending on resources to manage obligations and conduct horizon scanning? In this cost conscious environment could you benefit from demonstrating a cost reduction to senior management?*

*As an accountable individual, are you concerned about your current approach to obligations management? Might you miss something critical and how do you address this concern?*

The chances are your current approach to obligations management could be improved and does not give you complete assurance that your Policy Framework reflects all applicable laws, regulations and guidance.

Plenitude RegSight is the simplest and most effective way to manage your Financial Crime Compliance obligations and provides assurance that your organisation is meeting these obligations, in a world of ever-increasing regulation and heightened regulatory scrutiny.





# Plenitude RegSight Features

**Comprehensive register of Financial Crime Compliance obligations covering all financial crime risk themes** (Anti-Money Laundering, Counter Terrorist Financing, Economic Sanctions, Anti-Bribery and Corruption, Prevention of Tax Evasion, Fraud and Market Abuse) covering the main jurisdictions most global financial institutions operate UK, EU, Germany, USA, Hong Kong and Singapore.

## Powerful Search Functionality

Our register is categorised by jurisdiction and theme (e.g. Governance, KYC, Risk Assessment etc.) and is searchable for maximum flexibility, including the ability to identify, bookmark and track all applicable obligations. Core obligations are distilled from supporting text i.e. pre-amble, supplementary text and definitions to create a hierarchy of requirements which are easy to understand and implement.

**Comprehensive mapping functionality for policy and standards** by user type (1st and 2nd Line) in order to support self assessment and gap analysis. This provides a holistic view of your obligations management linked to your Policy Framework documents. Notifications are provided when we update core obligations in the register allowing you to easily pinpoint which Policy Framework documents need to be updated.

## Effective management reporting and analysis

Our self-assessment tool generates a report on overall compliance with applicable obligations and any gaps identified allowing you to feel in control and mitigate any potential gaps as appropriate.

## Industry leading Horizon Scanning

Plenitude performs horizon scanning on a monthly basis across +200 sources. For inforce obligations we directly update the tool and provide you with a notification of the key changes. We also alert you to any obligations in draft or to be implemented at a future date.

## Simple and intuitive to use

Regsight removes the usability challenges and scope for error associated with manual and sub-optimal solutions giving you the information you need at your finger tips.

## Flexible and customisable solution

Each client is provisioned a dedicated instance of our tool which allows you to customise to your specific requirements e.g. selection of applicable regulations and guidance, user permissions for access, self assessment and reporting etc.

## Implementation support

We provide free support to successfully deploy and set-up Regsight and train users. Users can be up and running in minutes; no technical deployment is required as the solution is cloud-based and hosted on Amazon Web Services, it's as simple as setting up your users with the required permissions.

## Subject Matter Expertise Access

As a specialist financial crime risk and compliance firm we are able to provide SME support and address any technical questions you might have.

# Plenitude RegSight Benefits and Outcomes

## Pinpoint and better understand current FCC obligations

With full visibility of all in-force international laws, regulations and guidance via our online tool.

## Identify and effectively manage potential gaps in your Policy Framework

Our self-assessment tool allows you to quickly assess your existing policies and procedures against applicable obligations with powerful management information and reporting.

## Proactively manage future FCC obligations more effectively

Our horizon scanning service means you are always on top of forthcoming changes and you will receive a monthly notification allowing you to plan ahead for the required changes.

## Reduce costs and improved operational efficiency

The business case for deploying RegSight is compelling when compared to the cost of developing an Obligations Register and managing obligations internally, with cost savings typically in the region of 50-70%. Our monthly subscription fee also provides greater certainty around ongoing costs.

## Secure and safe

Our solution is ISO9001 accredited for Quality Management and ISO27001 for Information Security giving you assurance around your obligations management, mitigating the risks associated with manual or sub-optimal solutions.

## More effective financial crime risk management

More effective obligations management drives better risk management and ultimately risk mitigation outcomes, reducing your exposure to potential enforcement actions or fines.



REGSIGHT

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