



Financial Services

OneSumX for Employee Compliance



Streamline Code of Ethics Compliance

A major concern for Compliance Officers is the difficulty in monitoring employees' personal trading activities and identifying conflicts of interest in accordance with best practice and industry regulations. In addition, Compliance departments must ensure that employees adhere to the regulations governing the giving and receiving of gifts and entertainment. Efficient process controls must provide transparency into these activities so that conflicts can be immediately identified and corrected.

Relied upon by leading global financial services firms, OneSumX for Employee Compliance empowers compliance officers to efficiently mitigate risk by automating the monitoring of employee activity such as personal trading, gifts and entertainment, certifications and reporting of outside business activity and political contributions.

With OneSumX for Employee Compliance, financial institutions gain an efficient process that reduces manual procedures, increases productivity, and provides an effective control for compliance and operational risks. With access to consultants who understand the regulations and the best practices associated with compliance, the solution helps ensure that your institution is prepared and confident in facing both internal and external audits.

Automate Code of Ethics compliance for monitoring personal trading, gifts & entertainment, and political contributions.



Select the components required for your organization's specific compliance needs

Global Security Master Provided by SIX Financial

Wolters Kluwer Financial Services has partnered with SIX Financial to provide a comprehensive global security master as an option to your subscription. Incorporating this security master eliminates data constraints felt by many clients that rely upon trade order management systems for security master data.

Dashboard View provides users with a central control screen that assists compliance in assessing the existence of employee insider trading and conflicts of interest. Users can customize the data they want to see each time they enter the system, easily referencing the most recent summary data to monitor activity, prioritize tasks and review conflicts as they arise.

Flexible and Real-Time Rules testing provides automated real time feedback to ensure personal trading compliance. Rules can be applied uniformly or to specific groups with varying parameters. In addition, De Minimis exceptions can be configured within the system. Requests and confirms can be tested for any combination of standard as well as custom, firm defined rules.

Automated Confirm and Holdings Processing import provides reconciliation and testing, while eliminating the tedious manual procedures typically associated with receiving, reviewing, and archiving trade confirms. OneSumX for Employee Compliance accepts all electronic broker feeds and formats, eliminating integration issues. As an added security measure, client broker feeds are not commingled.

Automatic Memo Distribution capability can create and schedule automatic distribution memos for various purposes, such as certification reminders to employees. In addition, the Associated Persons Letter functionality is designed to easily send FINRA 3210 email notifications manually or automatically when an employee reports a new brokerage account.

Certification, Disclosure and Reporting can be applied to all employees or selected groups at selected frequencies. Reminders can be set to ensure all employees certify within a specified window period. Real time reporting status updates are displayed on the compliance dashboard. Standard system certifications include Code of Ethics, Brokerage Accounts, Holdings and Employee Transactions. Additional certifications, such as Outside Affiliations, can be configured through the OneSumX for Employee Compliance custom certification template.

Gift & Entertainment Tracking is provided to review, monitor and certify all gifts and entertainment received or provided by employees. Approval assessment using your firms policy is designed to be highly configurable utilizing value thresholds, group association, automatic feedback and multi-tiered review on both a pre-approval and post-reporting basis. Firm system data is integrated for activity review, analysis and reconciliation with expense systems. Dashboard aggregators identify conflicts and high risk areas for immediate evaluation. Reporting tools provide policy audits, management reports and identify suspicious activity.

Political Contribution functionality provides workflow for preclearance, review and approval by compliance when an employee submits a request to contribute to a political candidate, organization, or engage in any political activity including fundraising. Forms and certifications are configured for Federal, State and local reporting and documentation can be attached at every stage in the workflow. Alerts, reports and a complete audit trail are included.

Business Intelligence Portal is used for centralized activity reporting and case management with advanced data aggregation, intuitive configurable workflows and advanced system alert capabilities.

Account & Statement Tracking helps facilitate the employee account disclosure and approval workflow required by the SEC and FINRA 3210. Employees obtain Account Written Consent, report and certify active accounts, and request discretionary account exemptions all through the iTrade portal. Requests for duplicate confirms and statements are automatically generated upon account entry. Statement tracking functionality provides for the upload of account statements by both employees and compliance for data retention and review.

Mobile App capabilities provide employees and compliance professionals with remote access to the pre-approval review process.

Available as an ASP or enterprise hosted solution, OneSumX for Employee Compliance is based on Microsoft .NET architecture with SQL Server database and can receive data feeds from all major trading systems, portfolio accounting systems, and human resources databases.

Secure Hosting at our Dell facilities offers a safe and secure environment for your data.

World-Class Service and Support provides hands-on support and comprehensive training.

About Wolters Kluwer Governance, Risk & Compliance

Wolters Kluwer Governance, Risk & Compliance (GRC) is a division of Wolters Kluwer which provides legal, finance, risk and compliance professionals and small business owners with a broad spectrum of solutions, services and expertise needed to help manage myriad governance, risk and compliance needs in dynamic markets and regulatory environments.

Wolters Kluwer N.V. (AEX: WKL) is a global leader in information services and solutions for professionals in the health, tax and accounting, risk and compliance, finance and legal sectors. Wolters Kluwer reported 2017 annual revenues of €4.4 billion. The company, headquartered in Alphen aan den Rijn, the Netherlands, serves customers in over 180 countries, maintains operations in over 40 countries and employs 19,000 people worldwide.

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