

OneSumX[®] GRC EMPLOYEE COMPLIANCE

Automate Process Controls for Personal Account Dealing and Gifts & Hospitality Governance—Reduce Risk

As regulators are increasingly targeting personal accounts dealing and Anti-bribery risk throughout the financial industry, it is essential that compliance teams have effective and efficient process controls in place for monitoring personal account dealing as well as for governing the giving and receiving of gifts and hospitality.

These processes must provide transparency into employee activities so that any conflicts of interest that may arise can be immediately identified and corrected in accordance with best practices and industry regulations.

Relied upon by leading global financial services firms, Employee Compliance automates management of your entire personal account dealing and Anti-bribery compliance programme, empowering compliance officers to mitigate associated risk. Because OneSumX for Employee Compliance provides a structured, comprehensive view of your processes, it helps ensure that your programme is compliant, efficient, transparent and complete.

OneSumX GRC for Employee Compliance is part of the GRC Suite of OneSumX. Employee Compliance is a one-stop-shop solution that offers an automated system that manages certifications, activity requests, analysis and reporting along with access to consultants who understand the regulations, information about the current rules in place and the best practices associated with compliance.

Business Intelligence Portal

Employee Compliance features a browser-based web portal used for centralized activity reporting and case management with advanced data aggregation, intuitive configurable workflows and advanced system alert capabilities. This highly flexible technology is data source agnostic, giving compliance managers unprecedented capabilities to swiftly handle unforeseen corporate or regulatory requirements and monitor compliance in a fully audited process.

Employee Compliance provides the four key steps required in a state-of-the-art insider dealing and inducements risk management programme.

1. Policies and training certification
2. Activity request workflow
3. Post face analysis
4. Holistic reporting



Streamline Personal Account Dealing & Anti-bribery Compliance:

- Employee interface allows users to self-certify, submit requests for personal trades, declare gifts and hospitality and update their data
- Convenient mid-level managerial interface enables line managers to approve or deny as a first pass requests for personal account dealing and gifts and hospitality
- Compliance interface enables rules, permissions, employee groupings and data, as well as system-wide reports to be maintained and run.

Additional features include:

- Multi-tiered approval processing
- Global Security Master provided by SIX Financial Information
- Available as an ASP or Enterprise Hosted solution

Because Employee Compliance empowers compliance officers to efficiently mitigate risk by monitoring employees' personal account dealing, gifts and hospitality activities and adherence to corporate policies, it can help ensure that your institution is prepared and confident in facing both internal and external audits.

Employee Compliance – Modular Solution



Customers only purchase those components required for their specific compliance needs

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