

OneSumX[®] GRC

POLICIES AND PROCEDURES

A comprehensive solution for assembling and updating regulatory-driven compliance manuals.

Broker-Dealers

A comprehensive solution for assembling and updating regulatory-driven compliance manuals. OneSumX GRC Policies and Procedures is part of the GRC suite of OneSumX.

Policies and Procedures for Broker-Dealers is the only solution that combines practical, industry proven know-how with the flexibility to integrate your existing materials in one centralized location. Featuring integrated and customizable technology, this pre-built library will transform the way broker-dealers—both large and small—comply with written procedure rules.

The solution provides expert guidance on creating and maintaining a policies and procedures program that covers subjects under FINRA, NYSE, MSRB and SEC regulatory rules such as AML, Supervisory Controls, Insider Trading, Business Continuity Plans, Best Execution, Regulation SHO, Instance Messaging and Emails, Mutual Fund Sales Practices, Conflicts of Interest, Insurance Products Sales Practices, and Employee Registration and Licensing.

User Friendly, Web-Based Solution

Web-based editing in a Word-friendly environment allows you to make changes and customize your content. Multiple editors are authorized to work on different sections of the same manual, directly on the web. You can approve edits, publish a new version and securely distribute your manual to your entire organization online—easily and effortlessly.

Complete Customization

Our powerful Policies and Procedures Wizard guides you through the manual assembly process. Each question is designed to gather pertinent information about your organization in order to provide customized content for your manual. Policies and Procedures for Broker-Dealers helps you integrate your existing content as needed. Once the manual is created, our online editing platform allows you to easily apply company-specific information.

Analytical Updates

Updates are published regularly, eliminating the need to monitor and interpret all the regulatory changes that affect Broker-Dealers. Our service provides the practical guidance you need to confidently manage your policies and procedures.



Archiving and Disaster Recovery

Previous versions of your manual are indexed and archived according to date in PDF format for easy reference and retrieval. The manuals are securely hosted, ensuring that your most important work is safeguarded and available at any time.

Newsletter and Calendar

Our bi-monthly newsletter provides in-depth explanations and insight on hot topics and recent regulatory changes. The Compliance Calendar helps you monitor and organize all key regulatory and filing deadlines in one place.

Proven Compliance Expertise

Our experts deliver succinct and easy-to-read compliance procedures that address the complexities of securities regulation. Applying the knowledge from their years in the securities industry and working with a team of legal contributors from some of the most prominent securities practices in the nation, our team draws from their years of experience in the securities industry.

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