Reduce risks by automating monitoring and reporting of employee trading, personal code of ethics, account dealing, gifts & hospitality and political contribution activities.

High profile cases of Code of Ethics’ and Personal Account Dealing infractions are increasingly making headlines. Many of these infractions are the result of an operating environment characterized by weak oversight in line management; poor adherence to internal controls and weaknesses in risk management systems and governance procedures.

As a result legal, compliance and operations professionals in banks, investment funds, brokers, asset management firms, pension / superannuation funds, insurance companies, hedge funds and private equity firms need access to in-depth expertise and sophisticated technology to meet increasingly complex and stringent obligations.

Regulatory mandates across jurisdictions in Asia-Pacific make it essential for firms to understand which rules are most important, where they affect their respective business activities, and how these obligations change as regulatory developments are announced.

Already relied upon by leading, global financial services firms, our OneSumX for Employee Compliance solution automates compliance for monitoring personal trading, code of ethics and other certifications, gifts & entertainment, political contributions and outside activities declarations. Similarly this solution automates Personal Account Dealing, Gifts & Hospitality and Anti-bribery compliance.
When a culture of compliance is essential to your business and reputation...

Streamline Employee Compliance
Maintaining a culture of compliance in accordance with local, regional and global regulatory requirements, is essential to avoid regulator inspection or audit failures, penalties and reputational damage. OneSumX for Employee Compliance automates the monitoring of personal trading, personal account dealing, gifts & hospitality, political contributions and staff outside activities that may cause a conflict of interest.

With OneSumX for Employee Compliance in place, you save time through reduced manual procedures, increase productivity by freeing up resources, and effectively manage related compliance and operational risks.

Automate Governance of Certifications, Gifts & Entertainment
OneSumX for Employee Compliance automates the monitoring process to enable your firm’s compliance department to effectively monitor all aspects of required certifications such as Code of Ethics and the tracking and monitoring of gifts and entertainment received or provided by employees. Using pre-set thresholds and reporting history, the solution routes employees’ web-based disclosures through an assigned approval workflow for review on either a pre-approval or post-approval basis.

Reduce The Risk In Employee Trading
OneSumX for Employee Compliance Monitors employees’ personal trading to identify and prevent insider trading.

It provides a workflow tool for the employee trade approval process by utilizing rule tests such as front-running, short term trading, failure to preclear and Restricted / Watch list conflicts.

An automated confirm and holding process eliminate the tedious manual procedures associated with receiving, reviewing, and archiving trade confirms and offers a multi-tiered approval process.
OneSumX for Employee Compliance

Key Highlights
The customizable consolidated dashboard view of OneSumX for Employee Compliance provides transparency into insider trading and other codes of ethics risks.

- Monitor and track employee trading with multi-tiered approval processing
- Automate broker feeds of electronic confirms directly into the system
- Monitor employee gifts and entertainment with pre-approval/post-reporting workflow
- Track employee political contribution details
- Manage outside business affiliation reporting
- Automated standard and custom certifications
- Track account statements
- Business Intelligence Portal offering leading edge data aggregation
- Extensive reporting options provide for data review, testing and case management
- Mobile Apps provide preclearance workflow for employees and managers
- Integrate with any trade order management system for real-time testing
- Global Security Master provided by SIX Financial Information

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.
ABOUT WOLTERS KLUWER FINANCIAL SERVICES

Whether complying with regulatory requirements or managing financial transactions, addressing a single key risk, or working toward a holistic enterprise risk management strategy, Wolters Kluwer Financial Services works with customers worldwide to help them successfully navigate regulatory complexity, optimize risk and financial performance, and manage data to support critical decisions. Wolters Kluwer Financial Services provides risk management, compliance, finance and audit solutions that help financial organizations improve efficiency and effectiveness across their enterprise. With more than 30 offices in 20 countries, our prominent brands include: AppOne®, AuthenticWeb®, Bankers Systems®, Capital Changes, CASH Suite®, GainsKeeper®, NILS®, OneSumX®, Uniform Forms®, VMP® Mortgage Solutions and Wiz®. Wolters Kluwer Financial Services is part of Wolters Kluwer, which had 2014 annual revenues of €3.7 billion ($4.9 billion), employs 19,000 employees worldwide, and maintains operations in over 170 countries across Europe, North America, Asia Pacific, and Latin America. Wolters Kluwer is headquartered in Alphen aan den Rijn, the Netherlands. Its shares are quoted on Euronext Amsterdam (WKL) and are included in the AEX and Euronext 100 indices.

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