Compliance Program Management

Regulatory change management

Today's financial services organizations continue to be challenged with a seemingly never-ending flow of changes to laws and regulations impacting how they do business. Failing to fully appreciate the scope of these changes, or the impact to operations, presents real compliance risks. Solving these challenges while maintaining compliance and providing the required transparency for regulators and the business alike is essential to a solid compliance program.



The content you need. The solution that helps.

OneSumX® for Regulatory Change Management takes complex regulatory changes and pares them down to what you need – structured, value-added content paired with a winning software solution. By linking regulatory changes to their respective regulatory rules, you receive immediately actionable content that allows you to focus your time on business impact and strategy, and less on enrichment and determining applicability. Additionally, this content flows through a single data feed format, which simplifies integration and makes reporting easier and more accurate.

An integral part of your compliance risk program

It's not enough to just update policies when regulations change. Project and action plans are necessary to assess the overall impact on your organization. Whether that impact assessment means a product that offers revisions, executive management education, compliance risk assessments, audit programs, or other compliance-required changes, you have to be able to move quickly and efficiently with accurate, tailored data.

1. Catalog all laws and regulations applicable to banking and securities that the institution is beholden to, across all business lines and jurisdictions in which it operates, ensuring compliance with financial industry standards.
2. Manage these obligations in an appropriate manner, taking into account the unique requirements of the banking and securities sectors.
3. Provide evidence at the point of examination, or to investors, that it has fully implemented and fulfilled all regulatory requirements, using point-in-time reports that highlight compliance with banking and securities laws.

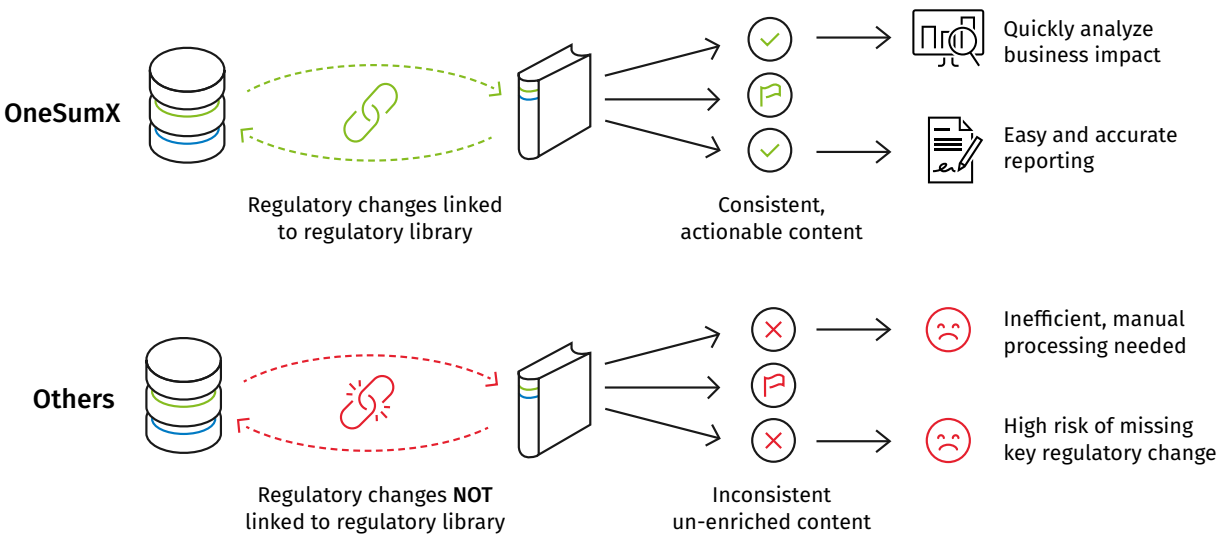
Increased attention to risk exposures means regulators want to know if your organization:

- Follows the laws, rules and regulations that apply to your business model;
- Is in compliance with applicable laws, rules and regulations; and
- Can prove it is in compliance with applicable laws, rules and regulations.

With so much on the line, you can't afford to make a mistake or delay response.

Contact us today to learn how our solutions can be tailored to your compliance needs. Please visit WoltersKluwer.com or call 1-800-261-3111. You can also email us at CPM-Sales@wolterskluwer.com.

A centralized approach drives greater control, efficiency and certainty. OneSumX for Regulatory Change Management treats compliance holistically as a program:



Track regulatory developments

With hundreds of full-time content sourcing and analysis employees, and an extensive network of partners, we can timely deliver rules and regulatory changes on a global basis.

- Track developments across a comprehensive list of agencies
- Gain visibility into key regulatory information and link to original source content
- Continuously update changed regulatory information

Assess the impact

Once you have a continuously updated regulatory library, you need to manage the process of reviewing regulatory and legislative developments throughout your organization in order to ensure appropriate implementation plans are executed.

- Assess developments against existing regulations, directly referencing the letter of law, and regulatory guidance
- Generate workflows, assignments, tasks, and automate follow-ups
- Establish a centralized and holistic approach to regulatory change management with full audit trail capabilities

Gain transparency

Finally, you need visibility into the current state of your regulatory management program. With consolidated reporting and dashboards designed to be shared with senior stakeholders, better decisions can be made.

- Create user-defined or ad hoc reports to track regulatory developments and the current state of your program
- Aggregate real-time reports into dashboards for senior management, individual lines of business, and regulatory agencies
- Get immediate visibility into development trends, providing critical insights for compliance and risk management committees