



Compliance Program Management

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 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 and entertainment, and political contributions.



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

Global security master provided by SIX Financial

Wolters Kluwer 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 and entertainment tracking reviews, monitors, and certifies 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, and 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.

Case management and reporting tools are utilized for centralized activity disclosure review and case management with intuitive configurable workflows, data aggregation, and system alert capabilities.

Account and 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.

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.

Available as a SaaS solution hosted on Microsoft Azure Virtual Private Cloud or on-premise solution hosted at the customer site, 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, expense systems, and human resources databases.

About Wolters Kluwer Governance, Risk & Compliance

Governance, Risk & Compliance (GRC) is a division of Wolters Kluwer, which provides legal and banking professionals with solutions to ensure compliance with ever-changing regulatory and legal obligations, manage risk, increase efficiency, and produce better business outcomes. GRC offers a portfolio of technology-enabled expert services and solutions focused on legal entity compliance, legal operations management, banking product compliance, and banking regulatory compliance.

Wolters Kluwer (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 2020 annual revenues of €4.6 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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Contact information:
Wolters Kluwer
Governance, Risk & Compliance
28 Liberty Street
New York, NY 10011
+1-212-894-8940

For more information about our solutions and organization, visit [WoltersKluwer.com](https://www.wolterskluwer.com).

OneSumX Employee Compliance Solution Primer