Compliance Solutions Strategies

Compliance-as-a-Service:
Regulatory Technology Driven by Data.
Backed by Service.

Market Challenge

The global regulatory space is complex and fragmented. Today's compliance department is made up of disparate data sources, operational processes and technologies. With hundreds of regional financial regulations, financial services firms across the globe are increasingly burdened by unaligned regulatory requirements.

Compliance Challenges

With added regulatory compliance costs and complexity, firms can address these problems through tactical and reactive responses to regulatory deadlines, or think more strategically about their compliance data, operations and technology.

By moving from a tactical to a strategic approach, compliance teams can help solve for:

Data Management

Cost Reduction

Risk Mitigation

Regulatory Change

Scalability

The status quo can hinder compliance transformation. Financial firms that choose to delay or only partially optimize compliance may result in:

Disparate Data & Systems

Reactive Regulatory Approach

Stagnant Growth

Increased Compliance Risk

What Strategic Compliance Looks Like:

- Optimize available compliance resources by automating manual processes

- Remove in-house complexities and reduce external integrations by consolidating vendors, systems and data into an integrated solution

- Drive the costs and stress of compliance risk down with a trusted managed services partner

- Tapping into CSS's regulatory radar – technology, experts and services – to greatly extend the ability to cover the breadth of regulatory requirements.
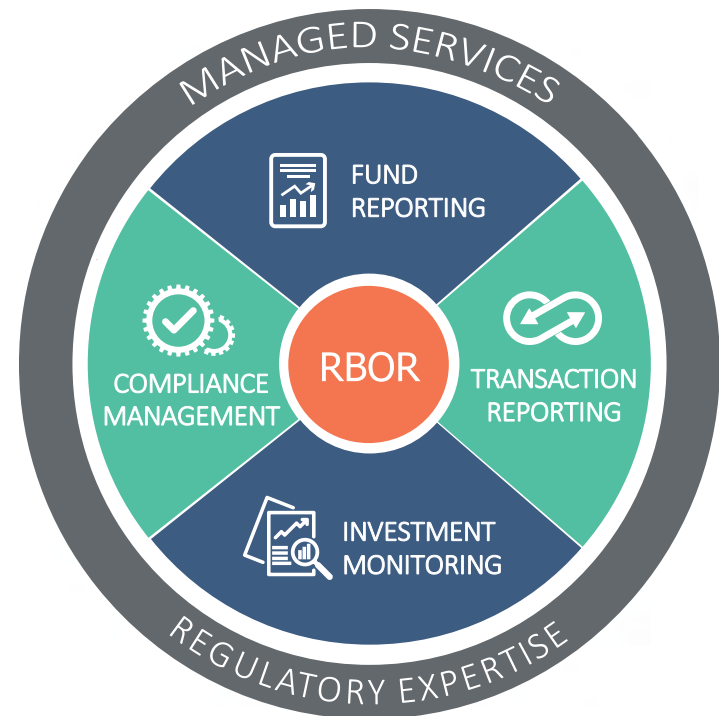
The Journey to Compliance Optimization

Compliance Solutions Strategies (CSS) helps financial firms move from a tactical to a strategic approach to compliance at their own pace and at their own starting point.

The Value of CSS

CSS is a trusted global RegTech partner that uniquely brings together innovative technology-driven solutions to support financial services firms in navigating a clear and strategic path through the complex and fragmented global regulatory space. Our solutions and services help firms meet regulatory deadlines while optimizing compliance data, operations and technology. CSS covers a full range of global compliance disciplines spanning fund reporting, transaction reporting, investment monitoring, compliance management, regulatory expertise and managed services with a complementary, centralized approach to strategic management of regulatory data called Regulatory Book of Record (RBOR).

Regulatory Book of Record (RBOR) - Secure data exchange and management of large, complex, and fractured data sets, delivering data accuracy and quality through a rules-based software engine and integration with our suite of reporting and analytics solutions.

Fund Reporting – CSS delivers a complete end-to-end fund reporting solution that is unmatched in the market for depth and breadth of coverage, leveraging integrated data management and fund analytics, regulatory reporting software, template creation and document production and distribution capabilities.

Transaction Reporting – A global, multi-regulatory reporting platform that seamlessly integrates with source systems and extracts, normalizes and consolidates transactional data, giving financial firms the flexibility to adapt and mitigate change management from shifting regulatory requirements as well as technical changes from reporting repositories.

Investment Monitoring – CSS automates and simplifies shareholder disclosure, sensitive industries and position limit monitoring to help financial institutions stay ahead of regulatory changes across global jurisdictions, reduce risk and optimize operational efficiency. The platform uniquely pairs unmatched in-house regulatory expertise with the most comprehensive set of industry legal data from aosphere.

Compliance Management – An enterprise platform to structure the framework for a highly efficient compliance program to facilitate documentation and promulgation of policies, procedures and manuals, manage complex attestations and reporting, as well as workflows, task management, calendars and alerting.

Regulatory Expertise – CSS's in-house team of Regulatory Guidance and Compliance Service experts know how to anticipate change and take a proactive approach to compliance. With many as former CCOs, regulators and regulatory specialists, they have helped build our technology solutions and services with the industry's challenges in mind and help bridge the gap between the regulations and practice. Expertise ranges from education on regulations and filings, performing risk assessments, annual reviews and mock exams to interpreting shareholder disclosure rules and cybersecurity.

Managed Services – CSS provides specialized regulatory expertise and customized, high-value services, from data management to regulatory filings, hosting services, infrastructure, security and technology. We walk the regulatory path with you and help you manage the end-to-end reporting process so you can refocus on your core business, quickly scale to meet client and market needs, lower total cost of ownership and mitigate risk.

CSS Can Help:

- Analyze your existing compliance and regulatory processes, see where you have room for improvement and identify and remove roadblocks.

- Identify how much your organization can save by transitioning specific compliance processes and tasks to an automated solution or outsourcing to a trusted managed service partner.

- Operationally plan and implement your future compliance strategy for maximum savings, scalability for future growth, mitigating risk and deriving more value from your data.

For more information on CSS or to optimize your compliance strategy, please visit: **www.cssregtech.com** or email us at **info@cssregtech.com**