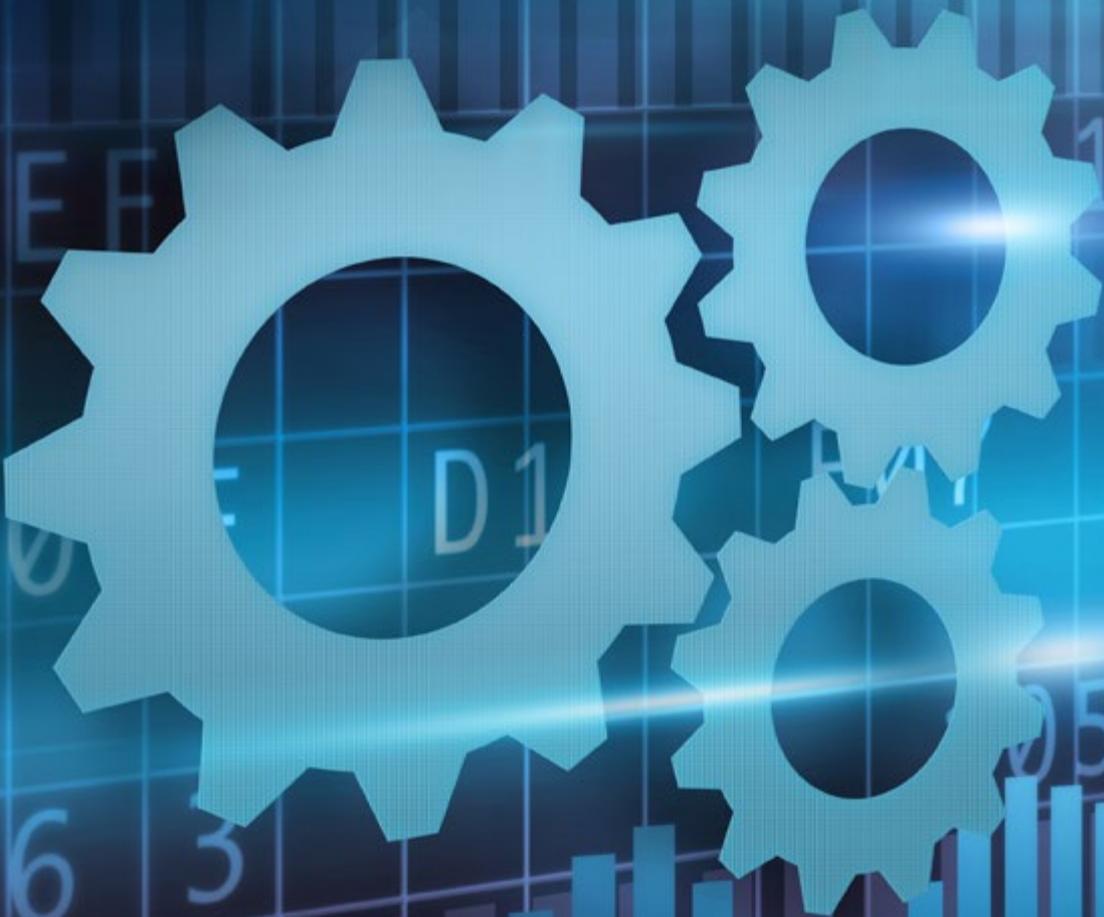


All your processes
All your evidence
Auditable and in one place

communica.net/compliance



Communica Compliance Engine supports managers, service providers and other financial organisations in managing all types of compliance processes and in particular, multi-jurisdictional Regulatory Compliance and entity data management.

Challenge: capture once, use many times

One of the key challenges associated with remaining compliant, is the capturing of client or investor-related data once, so that it can be used in multiple processes to cover multiple regulatory requirements and jurisdictions as and when required, be that for FATCA, KYC, AIFMD, MIFID or any of the myriad regulatory compliance initiatives around the globe.

However, there is some duplication of the data that needs to be captured for different regulations. Therefore, each data point collected can have multiple regulatory and internal compliance uses

So the principle of “capture once, use many times” is becoming core to the compliance management landscape.

The legislation will continue to evolve, not least because even the regulators are

finding their feet and don't always know what they want to see.

Businesses too, will continue to evolve, which means that regulations and jurisdictions which are not relevant in one year, may become so in subsequent years.

Maintaining this information over time to ensure that it is always up-to-date and relevant, is a separate challenge in its own right.

Finally, being able to evidence the fact that a robust process was followed, should the regulators ask, maybe the single most important step of all and yet the hardest to achieve if the request is made many years after a compliance process was undertaken, by staff who have since departed.

Introducing Communica Compliance Engine

The Communica Compliance Engine enables your organisation to:

- Specify and design their own regulatory compliance processes, tailored to their organisation's individual requirements,
- Capture all the relevant and required information pertaining to potential and actual clients and investors, for each regulatory jurisdiction.
- Re-use data captured as part of one process –such as name, jurisdiction or “passport approved” status – and use it to fulfil additional related processes, thereby saving time, effort and data input errors.

Processes can be designed as jurisdiction-centric or regulation-centric, or a combination of both and as the library of sample process templates grows over time, appropriate templates can be selected and modified by you, to suit your precise organisational needs.

Communica Compliance Engine supports data capture for a wide range of regulatory and internal compliance requirements including KYC, AIFMD, FATCA and MIFID.

Crucially this enables your organisation to put in place a robust audit trail, with immediately verifiable evidence of what was done by whom and when, as defined by the organisation's compliance team.

Compliance and Risk Officers are able to view progress in real time if required, which adds a further safeguard to everyday business processes.

The output from the client-facing team is then “Compliance Officer”-friendly reports covering all activities and all applicable clients or investors, at the touch of a button.

Communica Compliance Engine can be integrated with other third party systems – from which it can import or export data as required.

The decision by the compliance team can be recorded against the company record held within your CRM, which can then automatically control the distribution of marketing material to each client or investor.

How it works

Communica Compliance Engine consists of the following four elements:



PROCESS DESIGNER

A Process Designer to design the processes for different regulatory compliance processes;

DATA CAPTURE

Easy data capture functionality for gathering the required information relating to clients, investors and relevant third parties.

COMPLIANCE PORTAL

A compliance portal where the compliance team can review the captured information and make an informed decision as to whether the investor meets the desired regulatory compliance requirements.

REPORTING DASHBOARDS

Reporting dashboards to show the status of the relevant processes.

Communica Compliance Engine is fully auditable and is available in the secure Communica Cloud or as an On Premise application.

Call or email us now to arrange a demonstration of Communica Compliance Engine

Call **+44 (0)20 7381 7910**

Email **info@digiterre.com**

Or book a demo directly at **communica.net/compliance**