

# AccessCompliance for Financial Services

**Access Compliance FS** is a cloud-based, compliance program management solution designed specifically for the financial services industry. Integrated and modular, it provides smart, streamlined tools to conduct essential compliance tasks: from monitoring changing regulations, to conducting internal audits, to implementing required education and training programs.

As managing compliance and risk in today's world has become increasingly challenging, execution makes all the difference. From one easy-to-access, easy-to-use portal, companies can conduct effective compliance programs and promote a culture of compliance.

**Access Compliance FS** gets the job done: simply – with precision – and cost effectively.

*Manage. Educate. Monitor...and More.*

**Access Compliance FS** is ready when you are. Start with one training course or integrate the entire suite to achieve the maximum benefits.

*Smart  
tools for effective  
compliance program  
management*



## Policy & Procedure Management

- Centralize administration with dashboard views
- Maintain key information, including related compliance content and controlling regulatory obligations
- Simplify life cycle management with flexible workflows



## Education & Training Management

- Select from CFM-designed, audience-appropriate course libraries
  - FINRA CE, Compliance Education and Professional Development Programs
- Upload existing training content (PowerPoint presentations, videos, etc.)
- Tailor courses to your policies and procedures



## Compliance Content Distribution & Tracking

- Control who sees what with customized audience assignments
- Find critical information easily with flexible filters and content searches
- Issue Alerts and track attestations and content usage

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## Regulatory Monitoring

- Streamline management of regulatory changes
- View current headlines and enforcement actions
- Link to related regulations, policies and training courses



## Compliance Assessment

- Conduct needs-analysis surveys with customizable data-gathering tool
  - Annual Compliance Questionnaires
  - Anti-Money Laundering Surveys
- Mirror internal processes with flexible workflows and follow-up



## Compliance Forms & Disclosure Management

- Conduct surveys and track them easily
  - Outside Business Activities
  - Gifts and Entertainment
  - Political Contributions
  - Others
- Mirror internal processes with flexible workflows and follow-up



## Branch Exam/Audit Management

- Create and edit Exam forms easily
- Schedule Exams and resolve deficiencies more efficiently
- View detailed reports of Exam progress, completion and responses

**For more information, contact CFM at:**

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