

The Integrated Policy Solution for Financial Services

Access Compliance™ is an integrated policy management and compliance education solution designed to take the guesswork out of regulatory policy and procedure management. Access Compliance delivers the right information to the right person to enable a high-functioning, high-compliance, risk-informed environment.

The platform's rich online capabilities provide a comprehensive, actionable approach to the entire policy and procedure lifecycle:

- Publish and maintain policies and procedures across roles in the organization
- Integrate compliance, training and education
- Track and report on employee awareness and adherence
- Map policies and procedures to various risks, controls and compliance requirements

Access Compliance allows clients to align corporate, business group, and country-specific policies – at the end-user level – to ensure users see only the policies they need to do their jobs, to stay compliant, and to stay productive.



Developed by CFM Partners, a leader in Governance, Risk and Compliance (GRC) management solutions, Access Compliance simplifies the practical application of regulations and policies. With Access Compliance, clients can:

- Reduce risk of noncompliance
- Reduce opportunity costs
- Reduce uncertainty
- Improve employee morale
- Improve sales productivity
- Increase revenue
- Increase confidence

Access Compliance performs three important functions for your organization: **Policy Communication**; **Policy Management**; and **Policy Education**.

Policy Communication

New or updated policies are communicated through Policy Updates, Policy Notices, and Regulatory Notices. These typically require 5-10 minutes to review and include examples, scenarios, or assessments. Receipt and acceptance of policy communications are tracked and reported. Access Compliance also includes an easy-to-use publishing feature that allows your organization to post updates and changes to policies and procedures, and to archive manuals over time for regulatory review.

Policy Management

Online policy and procedure manuals are line-of-business specific and/or geared to user job functions (e.g., Financial Advisors vs. Supervisors). Users have access to policies based on their user profile, which generally includes job function, business group, geographic location, and other variables. Review and use of policies are tracked and reported.

Policy Management Features

Authoring/Editing. Policy updates and/or changes can be easily made and distributed by your designated employees (e.g., Compliance staff). Automated, user-defined workflow allows policies to be drafted, reviewed, and distributed to the appropriate audience(s). Policy history also can be archived.

Policy Links. Line-of-business policies can be linked to corporate policies, internal control objectives, reference tools, and client workflow tools.

Policy Annotations. Policies may be annotated with

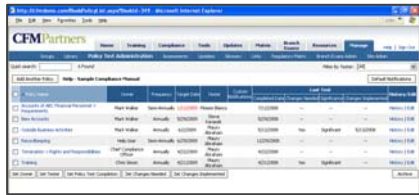
corresponding Regulatory Citations (underlying regulatory rules or code sections); Case Studies and Scenarios (to help users better understand the role and importance of a particular policy);



Corporate Forms, Documents, and Tools (as reference materials); and Version Control.

Policy Test Administration.

Policy testing requirements and workflow are centrally managed, including test frequency and date, owner and tester, manner and method for testing. It provides



a summary of the test results and gaps found, and identifies the changes a firm made or will need to make to its supervisory procedures.

Regulatory Matrix.

This unique feature allows compliance personnel to track important changes in the regulatory environment through a single interface; to understand the impact of those changes on their firm's policies and procedures; and to link to key rules



and regulations from various regulatory authorities to ensure that their policies and procedures remain current with a dynamic regulatory environment.

Policy Education

Policy education is distributed via Knowledge Blocks™, which are 15- to 20-minute courses designed to focus on one procedure, policy, or regulatory issue. Knowledge Blocks typically include a case study, scenario, or short assessment to test users' ability to apply what they have learned.

In addition, CFM designs and develops industry-based courses addressing regulations, product, and/or sales practices issues and tailors them to incorporate client-specific policies.

This unique and integrated approach to policy management and compliance training and education helps ensure clients that they are successfully educating their employees and that they are getting the appropriate training relevant to their position.

In these times of heightened regulatory scrutiny, it provides an integrated approach for timely updating and communication of critical policy updates, ensuring that employees are receiving and understanding those updates, and providing an audit trail of policy changes, communications and acknowledgement of important policy and compliance issues.

Powered by the CFM Network™

Access Compliance is a hosted solution powered by the CFM Network. With over 1,000,000 users in 24 countries, the CFM Network provides a secure, scalable platform that provides your global staff with a single source for your policies, procedures, compliance and training, and education needs.

With the CFM Network, your sales force will have access to the resources they need to do their jobs in a risk-informed, highly compliant manner—24 hours a day, 7 days a week. Your management team will be able to monitor each employee's progress and performance with real-time, consolidated reporting and tracking.

With CFM Network, your team can focus on the business of compliance and risk management — not on the technology! Rapid implementation of global policy management and compliance solutions across multiple locations requires little more than Internet access with our hosted solution platform.



About CFM Partners

CFM Partners is a Governance, Risk and Compliance solution firm based in Washington, D.C. CFM builds, hosts, and supports sophisticated and comprehensive GRC policy, sales and education solutions for the global Financial Services industry.

Our solutions set the standard for high quality, scalability, audience-appropriate knowledge delivery and information management. Many of the world's most successful and respected financial service organizations turn to CFM for Policy and Procedure Management and superior GRC learning solutions.

Contact us today to learn more.

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