

COMPLIANCEBOND

Regulatory content, workflows, & data analytics in one complete solution

SOFTWARE THAT SIMPLIFIES & CENTRALIZES REGULATORY COMPLIANCE MANAGEMENT, MINIMIZES RISK EXPOSURE, & SERVES UP EASY, REAL-TIME REPORTING

Reduce complexity and decrease the risk of compliance gaps by getting your compliance management out of spreadsheets and SharePoint.

Track and map requirements, and reduce time spent documenting and testing compliance. Automate testing for real-time compliance monitoring and prioritize your time on key issues. With built-in reporting, you'll provide clear oversight for management and the board. Plus, easily demonstrate to regulators that you're compliant.

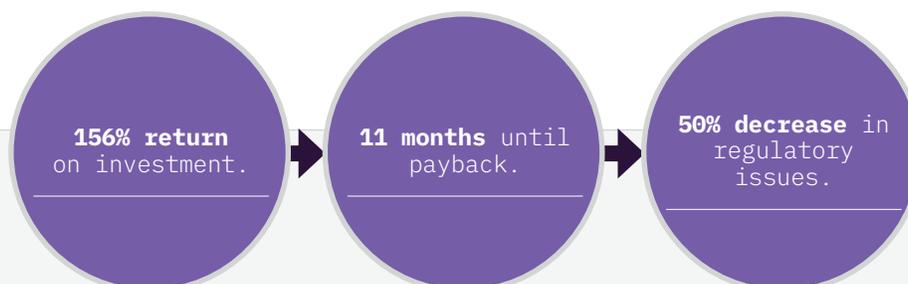
Why choose ComplianceBond?

- ❑ **Consolidate regulation and compliance management** into one end-to-end platform.
- ❑ **Automate your compliance monitoring and testing** for timely identification of non-compliance.
- ❑ **Simplify change management** with fully integrated regulatory standards, frameworks, and requirements.
- ❑ **Save time** with built-in requests and reminders to control owners, and system tracking of external requests.
- ❑ **Get real-time, organization-wide oversight** with dashboards, compliance metrics, and reports.

"When the regulators came in they saw that we had identified a key policy issue ... The regulators complimented the organization for doing the right thing ... We can help the business preempt regulator criticisms because of the approach that we take."

- Chief auditor for a US regional bank.

COMPLIANCE PROFESSIONALS ARE SEEING RESULTS WITH COMPLIANCEBOND



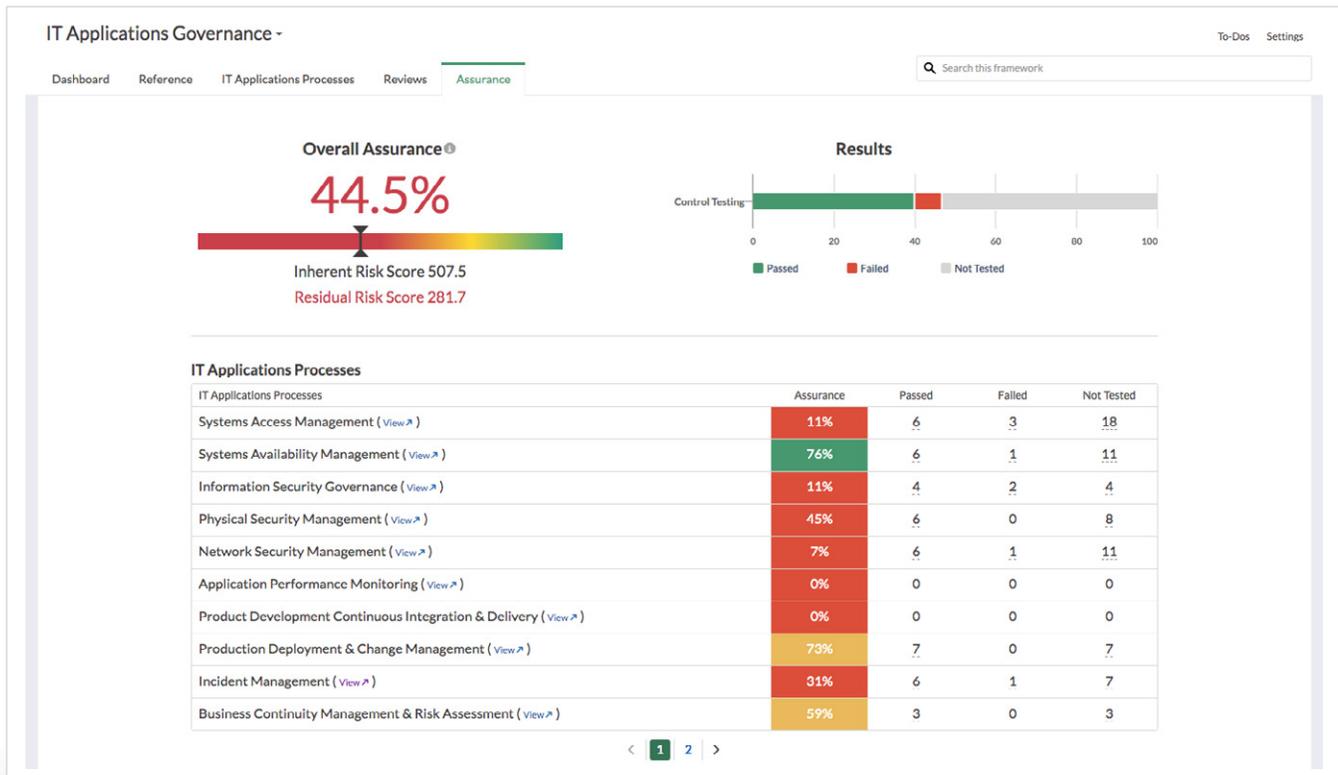


Figure 1: Compliance assurance

Highlighted features

COMPLIANCE WORKFLOWS

- 1 Organize and manage all your regulatory requirements and policies in a central location.
- 2 Rationalize compliance obligations that aren't applicable and focus on the most pressing issues.
- 3 Harmonize multiple requirements to a single control to eliminate duplicated efforts.
- 4 Track, measure, and identify the impacts of various regulations, then set priorities.
- 5 Assign resources to the highest-priority tasks.

ASSESSMENTS, MONITORING, & REPORTING

- 1 Delegate compliance assessments with data automation and questionnaires.
- 2 Connect to and test 100% of your data, freeing your team from manual testing and data acquisition tasks.
- 3 Monitor metrics like KPIs, KRIs, and KCIs to spot trends or outliers, and trigger alerts if thresholds are met.
- 4 Map each control to a specific analytic monitoring test to continuously monitor its effectiveness
- 5 Assign self-assessments to control owners and save the responses as proof of compliance.

COMPLIANCE REPORTING

- 1 Share a picture of your compliance posture with real-time dashboards.
- 2 Drill down into reports to see specific controls, compliance processes, risks, and issues.
- 3 Create "self-serve" regulatory dashboards for management, the board, and regulators.
- 4 Find, flag, and report on potential control gaps or failures.
- 5 With one-click reports and templates, easily generate reports for the C-suite and board.