



Managing multiple compliance documents and ensuring they remain compliant can be a real challenge. Especially if they need to be managed across business lines, products, and jurisdictions. At Wolters Kluwer Financial Services, we help eliminate your document hassles.

Our Document Management Services have been specially created to improve your compliance risk management—no matter how extensive your document set is. For starters, our consultants will assess your current library and identify any missing, obsolete, or inconsistent documents. They will also determine how your documents align with our standard warranted content, in an effort to reduce the maintenance of custom documents. They will work closely with you to create any additional documents to meet your institution's specific business requirements. Our skilled experts will then convert your document set into a consistent format for ease of management and maintenance.

### Document Management Services includes:

- Quarterly reporting on managed documents (name, revision date, active documents, new documents added, discontinued documents, inactive, and revisions to documents), action taken with compliance notification, consulting hours used, and summary of how they were used
- Compliance notifications
- Compliance maintenance to documents
- Consulting hours
- Distribution of documents to multiple locations
- Discounted rates on additional services such as creating custom documents, modifying documents, non-compliance revisions to documents, printing, licensing standard documents, and additional consulting hours for your compliance needs
- Stay on top of regulatory changes with compliance notifications
- Achieve stronger management of your documents as our experts track versions and customizations
- Improve consistency and efficiency through reduced redundancy and eliminating obsolescence
- Reduce costs through outsourced document management and monitoring
- Better quality of compliance documents through controlled document distribution

Whether your documents are print or electronic, Wolters Kluwer Financial Services will maintain them for you. By managing your organization's documents to ensure they are compliance, we will help you minimize the risk and headaches. All the while saving you invaluable time and money.

### Document Management Services helps:

- Manage your expenses/budget by knowing the annual cost to manage your documents (no additional costs due to increased regulatory changes that impact your documents)
- Gain faster speed to market in document development
- Get improved compliance risk management through stronger monitoring

### Monitoring and Warranty Services

Monitoring your content and documents involves detailed skills. Particularly, timely notifications of regulatory changes. At Wolters Kluwer Financial Services, we have decades of experience in monitoring state and federal statutes, regulations, and case law.

Our premium Standard and Custom Monitoring and Warranty Services have been designed to monitor your business' content and documents.

We combine well-tested processes and tools as well as our experience, knowledge, and understanding of the regulatory environment. We also provide an extra layer of protection by offering a warranty for our drafted custom content. Our aim is to help reduce the time your staff invests in monitoring. And improve your risk management.

### Standard Monitoring and Warranty Services

Our Standard Monitoring and Warranty Services include base documents like paper forms, e-forms, and software applications such as ComplianceOne™ and Expere®. As always, our standard documents are covered by Wolters Kluwer Financial Services' limited warranty. So you can feel secure and confident using our documents.

### Custom Monitoring and Warranty Services

Every financial institution is different. And has its own unique needs. Our Custom Monitoring and Warranty Services brings the experience, skill, and tools necessary for efficient regulatory monitoring of your custom documents. Our team will provide you a customized and cost-effective method to monitor changes that affect your documents—by applying the same tested tools and processes that we use for our standard documents.

#### Monitoring and Warranty Services includes:

- Renowned experience in monitoring statutes, regulations, and case law on the federal and state levels
- Knowledgeable consultants who monitor the regulatory environment for your custom documents
- Custom document warranty service available on Wolters Kluwer Financial Services' drafted custom content, in addition to custom document monitoring

#### Monitoring and Warranty Services helps:

- Improve your risk management around your custom documents with tested monitoring processes and tools
- Receive timely notifications of federal and state regulatory changes
- Reduce staff time for monitoring. Now you can review only the regulatory issues that impact your documents

## Compliance Research Services

Recognizing how regulatory changes affect your financial institution can be very challenging. It requires time, knowledge, and insight. At Wolters Kluwer Financial Services, we have built a name for ourselves in understanding the compliance environment.

With our Compliance Research Services, you'll get personalized time, knowledge, and insight. Our experienced compliance professionals will work closely with you to evaluate the applicable regulations in each jurisdiction. We'll help you identify the compliance issues with your existing business. You'll also understand compliance implications of expanding into new jurisdictions, or adding new lines of business or products.

#### Compliance Research Services includes:

- An understanding of the applicable statutes, regulations, and case law related to your specific business
- Identifying compliance issues with your current and/or new business or products
- Professionals experienced with the compliance environment and challenges facing financial institutions

Wolters Kluwer Financial Services' firm understanding of the compliance environment will greatly reduce your financial institution's regulatory challenges. So you can focus on your business' success. To learn more about this and the other Compliance Management Services we offer, please visit [www.WoltersKluwerFS.com/CMS](http://www.WoltersKluwerFS.com/CMS) or call 1.800.552.9410.

Wolters Kluwer Financial Services Document Management Services are just a part of our overall service offering. We also provide a comprehensive line of professional and consulting services to meet your daily compliance and operational risk needs. Our consultants have extensive industry experience working as regulators, compliance officers, operational managers, and financial institution executives. So no matter the size of your financial institution or the complexity of your needs, we can confidently deliver a complete compliance solution—enabling you to successfully achieve your business goals.



### About Wolters Kluwer Financial Services

Wolters Kluwer Financial Services is a leading provider of content, compliance, technology, and services for banking, securities, and insurance. We bring together some of the industry's most trusted and reliable solutions to help you address compliance requirements, reduce risk, and operate more efficiently. Our leading brand families include Bankers Systems, Expere®, PCI, and VMP® Mortgage Solutions.

To learn more, please visit [www.WoltersKluwerFS.com](http://www.WoltersKluwerFS.com) or call 1.800.552.9410.

