



## Wealth Management Compliance Automated Compliance for Wealth Management Organisations

As regulatory and compliance legislation has increased, wealth management organisations can no longer afford a departmental approach to compliance. Operational inefficiencies drive costs up while the chance of human error, inconsistent processes and misplaced documents increase business risk.

Fiserv offers enterprise-wide management and control of wealth management activity and documentation with an automated wealth compliance platform. Fiserv provides an array of controlled options for viewing, annotating, revising and distributing advice documents while automating the management of compliance audits for multiple clients.

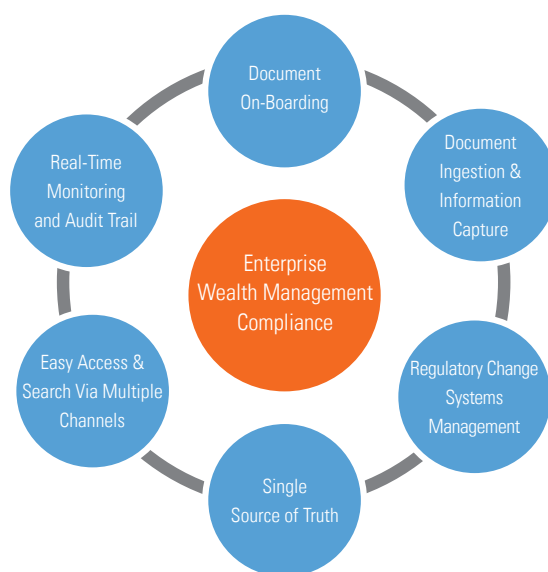
Additional capabilities include:

- Management of approved product lists by client
- Management and monitoring of issues such as incidents, breaches and complaints
- Audit automation questionnaire population based on audit type, advisor and accreditation details

### Features

- Ability to conduct pre-audit, audit and post audit remotely, or on-site
- A single source for storage of all current and historical data and documentation – creating an audit trail on-the-go
- A centralised, modular approach that replaces multiple compliance systems

- Information upload and retrieval functionality through multiple channels including mobile devices, email and web portal
- Centralisation that enables uniform business processes and decisions throughout the enterprise
- Customisation based on an organisation's individual business logic, without changing code
- Designed according to Object Management Group standards for improved user acceptance and streamlined maintenance



Fiserv is driving innovation in Payments, Processing Services, Risk & Compliance, Customer & Channel Management and Insights & Optimisation and leading the transformation of financial services technology to help our clients change the way financial services are delivered. Visit [www.fiserv.com](http://www.fiserv.com) for a look at what's next now.

## Stay Ahead of the Compliance Curve

Fiserv can help organisations meet new compliance and regulatory challenges more cost effectively. Modular implementation and phased delivery of our automated wealth compliance platform offers a flexible, low risk rollout. Fiserv partners with specialist providers to deliver in accordance with Australian regulations.

## Connect With Us

For more information about enterprise wealth management compliance, email [getsolutions@fiserv.com](mailto:getsolutions@fiserv.com) or visit [www.fiserv.com](http://www.fiserv.com).

## Key Benefits

- Improve the quality and efficiency of advice
- Monitor and mitigate client risk
- Monitor and mitigate advisor risk
- Achieve transparency, consistency and compliance across business areas
- Ensure regulatory compliance
- Reduce errors due to manual processes or lack of adherence to policies
- Spend more time building relationships and less time on administrative tasks
- Reduce operational costs through centralised, straight-through processing
- Securely store documents and data electronically, in a central location rather than on multiple systems in various locations
- Reduce the risk of lost or destroyed documents
- Enforce policies and reduce risk through reliable audit trails



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