

# Regulatory Compliance Confidence Scorecard

Is your compliance house in order? With more rigorous regulatory oversight headed for financial institutions, it's important to measure your level of compliance preparedness. Are you 100% confident in your compliance processes and procedures? Use this scorecard to help rate your readiness to withstand the increased scrutiny and regulatory enforcement changes.

| Scorecard  | Not at all | Somewhat | Yes |
|--|------------|----------|-----|
|  | 1          | 2        | 3   |
| 1. Our corporate legal entities are defined and products and services are mapped to those entities.  |            |          |     |
| 2. Laws, rules, and regulations are identified (with link to supervisory agencies) and mapped to my entities, products and services.               |            |          |     |
| 3. Each entity has a tailored list of obligations created at a granular level (down to the citation detail).                                       |            |          |     |
| 4. We have a central library for all of our regulatory obligations.  |            |          |     |
| 5. We continuously monitor the agencies defined in step 2 for regulatory changes.  |            |          |     |
| 6. We receive automated notice of any regulatory changes.  |            |          |     |
| 7. Our obligations library dynamically updates in response to any regulatory changes.  |            |          |     |
| 8. Regulatory changes are automatically filtered for relevance to individual entities.   |            |          |     |
| 9. We receive summaries of how regulatory changes will impact our entities.  |            |          |     |
| 10. We have a process in place from when the team is notified about a change, including steps we take to review, analyze, and close out any tasks. |            |          |     |

## Scorecard

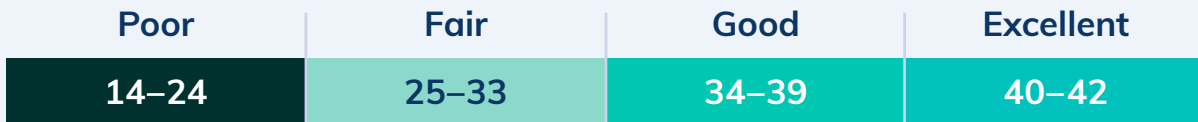
11. The tasks are tracked in a system that can report in real-time on what is open, closed, assigned to, and internal documentation on how it was closed out.
12. We can provide proof of compliance without devoting additional resources to the task.
13. We have a system in place to capture information on new initiatives or offerings, plus any acquisitions on the horizon, that would open us to new regulatory requirements.
14. We are notified of any regulatory enforcement actions, guidance, proposals, speeches relevant to our entities in case they might impact strategic initiatives.

## Totals

Not at all    Somewhat    Yes  
**1**                    **2**                    **3**

|  |  |  |
|--|--|--|
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

## Your score:



In a volatile regulatory environment, and with today’s robust regulatory compliance tools, excellence in compliance should be table stakes. The best regulatory software tools do far more than simply scrape regulatory changes. They specifically identify the obligations and changes in those rules that specifically impact your business, and help you adjust internal policies and procedures to keep you compliant. And they do this continually, ensuring not only compliance, but an audit trail that proves it.

**Contact Ascent to learn how you can leverage powerful, affordable tools to ensure that you, too, are prepared for what is about to come.**

