

# Global Regulatory Compliance Solution for Financial Services Organizations

## Managing Compliance Complexity

Global financial institutions are subject to various securities transaction and financial reporting regulations under multiple jurisdictions, including: Takeover Laws, Disclosure Rules, Competition Mandates, and more. The risks associated with non-compliance are high and may lead to heavy monetary penalties in addition to suspension or cessation of business. Non-compliance can also cause enormous reputational damage, which cannot be easily measured or recovered.

With a myriad of regulations for multiple business units across multiple geographies, it can be a daunting challenge to monitor and manage compliance. Addressing programs individually through soloed compliance systems for each jurisdiction does not provide an enterprise-wide view and results in procedure replication along with an increase in cost and complexity.

## Perot Systems: Solution Overview

Perot Systems® Global Regulatory Compliance (GRC) Solution allows financial institutions to meet the regulatory reporting challenges of multiple jurisdictions through a single centralized compliance system. Our solution enables firms to aggregate their proprietary and discretionary securities' holdings across multiple business units in accordance with the specific provisions of each Regulation/Act using a built-in securities aggregation rules engine. It also provides your compliance officer with early-warning alerts as well as notifications in case of breach of regulatory thresholds. The Perot Systems solution helps prevent violations and reduces the risk of non/false/delayed compliance. The Compliance Dashboard of our solution provides management with a snapshot summary of group-wide compliance status and can generate a variety of configurable reports based on different criteria (Geography, Act, Security, and more). Our solution supports regulations/acts of multiple jurisdictions, such as U.S. (US Bank Holding Act, Sec. 13D-G of Securities Exchange Act, 1934), Europe (Take-over Code, EU Transparency Directive), and Canada (Ontario Securities Act).

## Perot Systems: Solution Differentiators

The GRC Solution provides regulation-specific securities position aggregation and monitoring against regulatory thresholds. The solution provides easy configurability for dynamic components that change frequently while maintaining integrity in the core technology. Our reusable rules components allow configuring in new regulations as needed. The compliance dashboard provides alerts/drill-down functionality to ensure an in-depth monitoring and audit trail. Other key value points:

- Multiple jurisdiction coverage: The solution covers multiple regulatory jurisdictions in the US, Canada, Europe, and Asia-Pacific.
- Flexibility and scalability: Since the regulatory environment is highly dynamic, the solution allows for amendments in existing regulations as well as addition of new regulations to the system.
- Cost reduction: Eliminates the replication of compliance systems and operations associated with decentralized compliance systems. High value solution at low cost no initial license fees.
- Securities exposure report: Enables better MIS reporting and internal governance by generating reports based on customized parameters such as business unit, legal entity, jurisdiction, and more.
- Improves management: Separates data ownership from compliance process ownership.

## Current trends

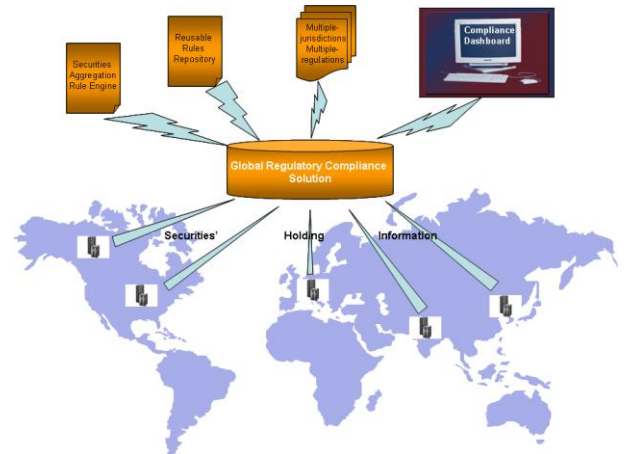
Investment in compliance is not merely the cost of doing business it makes sound economic sense because.

- The regulatory environment is tightening with stricter regulations and this trend is expected to increase in future
- Holistic compliance solutions can support various regulations for multiple business units across diverse geographies
- A low-cost, high value solution that provides flexibility can save money

## End to end service portfolio

### Service Specifications

- Consulting services on enterprise compliance framework.
- Internal & external compliance landscape assessment.
- Solution development & implementation
- Application Support and Maintenance
- Integration
- QA services



### *Key Benefits*

- Improved monitoring and compliance management covering multiple-jurisdictions
- Reduced regulatory and legal risk
- In-time response and user friendly technology
- Frequent on-demand information and reporting
- Improved internal governance and group-wide securities exposure management
- Reduced cost of compliance due to an enterprise-wide framework
- Separation of data and process ownership
- Improved accuracy
- High value, Low cost solution with no licensing costs

For more information about our Global Regulatory Compliance Solution or other solutions for your business or organization, contact your Perot Systems account representative or one of our global offices.

### **Viewpoint**

The recent global financial challenges have revealed a gap between financial innovation and regulation/governance of financial institutions. Bridging this gap requires better governance and risk management on the part of financial institutions and newer and tougher laws on the part of regulators. There are still many ambiguities surrounding risk management in programs. The health of financial institutions as well as that of the markets they operate in will depend on how well they understand and respond to the risks they face.

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