Compliance Agility for Financial Services
HOW TO RESPOND TO MAJOR POLICY SHIFTS AND STAY IN LOCK-STEP COMPLIANCE

- Manage compliance holistically with a low-code platform powered by business process management technology.

- Become more agile and transform risk into core strength to deliver customer-centric products and capabilities.

- Implement a digital overlay to strengthen governance architecture and stay ahead of conflicting and overlapping regulations.

- Proactively address effective risk data aggregation and risk reporting requirements.

UNCERTAINTY REIGNS FOR GLOBAL BANKING INDUSTRY
Financial Institutions face an increasingly complex regulatory environment, frequently perceived to be in direct conflict with growth. Recent changes in the political landscape further fuel the complexity around compliance:

- Results of the U.S. election have led bankers to believe compliance mandates will continue to evolve and in few cases there could be significant roll-back of key regulations, including Dodd-Frank Reform, DoL Fiduciary Rule and Consumer Financial Protection Bureau priorities.

- In the U.K., the aftermath of Brexit is expected to alter dynamics around the banking industry, with many banks coerced to quickly restructure their operations and perhaps modify their legal structures.

You have seasoned compliance professionals in place. Have you enabled them with the technology to accomplish their objectives in the current volatile environment?

FOSTER RESPONSIVE, HOLISTIC COMPLIANCE
In the financial services industry, most businesses continue to be aligned by product silos rather than customer needs. The net impact is a compounded level of complexity when addressing compliance due to a proliferation of Silos — data, stand-alone apps, one-off answers to the latest most critical fire-drill.

Traditional technology choices most likely fall short, especially when the only certainty is change.

Risk management applications are expensive to acquire and time-consuming to implement. Adapting packaged solutions can extend the time to delivery and, once deployed, may well become unwieldy and brittle legacy systems. Both approaches present difficulties to integrating compliance into key processes.

How can banks deploy technology that will integrate with key processes and enable compliance with current and future regulations, especially when new directives may likely overlap and impact previous regulation?

This is where strategies that adopt low-code technology — powered by business process management — to create ‘digital overlays’ can deliver immediate, positive business outcomes. Being able to quickly adapt and create value by delivering responses to business challenges in key processes without having to retool legacy systems.

DEPLOY A DIGITAL OVERLAY
With a single, unified digital platform, proven security and a powerful and intuitive interface, you can address all challenges around compliance.

- Increase speed to compliance. With the low-code approach of the Appian Platform — powered by Business Process Management (BPM) capabilities — you can quickly deploy applications to manage and control data gathering from multiple sources.
Focus your efforts to meet all compliance challenges. With Appian, you can:

- Manage basic cases and more complex scenarios within the same process
- Create comprehensive views across events, departments, products and regions
- Conduct ongoing screening with reasonable review and escalation of exception cases

**TAKE CONTROL**

Take control of performance with the Appian application platform, a powerful yet easy to use platform for managing complex business processes. Quickly build and deploy enterprise apps for:

- Customer Acquisition
- Compliance
- Customer On-Boarding
- Product Management
- Business Operations
- IT and FinTech

**PREPARE FOR THE FUTURE**

- Pressure is mounting to deliver innovation in the financial services sector. Now you can alleviate the pressure with Appian. Streamline operations, reduce costs, facilitate collaboration, and navigate change.
- Unify relevant information and systems to get work done with Appian. Achieve significant efficiency in work execution while leveraging your legacy IT investments.

**COMPANIES FROM ACROSS THE FINANCIAL SERVICES SECTOR TRUST APPIAN:**

Appian delivers an enterprise platform for digital transformation that is changing the financial services landscape. Powered by industry leading Business Process Management (BPM) and Case Management capabilities, Appian’s low-code approach radically accelerates the time it takes to build and deploy powerful, modern applications, on-premises or in the cloud. The world’s most innovative financial services institutions use Appian to revolutionize their customer experiences, transform their business operations, and master global risk and compliance. For more information, visit www.appian.com