



## Introducing KM<sup>SM</sup> PolicyWatch

*Each day, the world of banking and broker-dealer regulation becomes larger and more complicated. With KM PolicyWatch, your world just got smaller and easier to manage.*

**W**e are pleased to introduce you to KM PolicyWatch, the newest addition to the Knowledge Mosaic<sup>®</sup> family of outstanding compliance tools. This breakthrough tracking tool not only alerts compliance professionals to new SRO and Agency rules, it also helps manage the incorporation of those rules into company policies and procedures manuals.

### Policy Management Made Simple

Designed with the assistance of the world's leading investment and banking firms, KM PolicyWatch is the simplest and most cost-effective way for financial service institutions to stay on top of the constantly shifting regulatory landscape. KM PolicyWatch's simple, intuitive web pages and reporting tools help you monitor rule changes, identify how those changes relate to existing internal policies, and keep policy manuals current.

### Comprehensive Rulemaking Updates

KM PolicyWatch tracks as many as 150 proposed rule changes each month from at least 20 SROs, including FINRA, NYSE, Nasdaq, AMEX, CBOE, and the MSRB. It also includes rulemaking proposals from major government regulatory agencies such as the SEC and the Commodity Futures Trading Commission.

### KM PolicyWatch Benefits

In today's regulatory environment, updating internal policy manuals to reflect SRO and Agency rule changes requires hours of tedious tracking, cross-checking, and data entry. KM PolicyWatch can save you hundreds of hours of manual labor by automatically linking internal company policies to associated SRO and Agency rule proposals.

You reap the benefits—including:

- Substantial time and cost savings
- Improved compliance risk management
- Faster and more accurate standardization of internal policies
- More efficient and comprehensive management of internal controls

### KM PolicyWatch Features

#### For Policy Manual Updates

- Directly map internal policy sections to specific SRO and Agency rule numbers (updated daily)
- Instantly add or edit individual or multiple records

#### For Workflow

- Manage internal policy manual assignments by individual and group
- Establish levels of access to maintain proper security and appropriate distribution of responsibilities

#### For Audits

- Create and distribute customized reports in multiple formats according to the parameters and filters you select
- Preserve daily "snapshots" that capture the exact status of your rulemaking updates on any given date

### Learn More

To learn more about how KM PolicyWatch can revolutionize your policy management process, email or call us toll-free:

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