REGULATORY COMPLIANCE
SOFTWARE SOLUTIONS

CSI

Dynamic Solutions. Superior Results.

TOOLS THAT REDUCE THE BURDEN OF MANAGING COMPLIANCE
AND THE RISK OF NON-COMPLIANCE

WATCHDOG ELITE PLATFORM, a holistic platform that integrates compliance management for several risk areas

STAND-ALONE SOFTWARE SOLUTIONS for watch list checking, Reg E, Reg CC, social media compliance & more

CSI SECURE CONNECT, a robust communication portal for your board, employees & committees

In order to succeed at managing the ever-increasing regulatory burdens placed on organizations today, you need solutions that are cost-efficient and tailored specifically to meet the regulations in your industry. CSI Regulatory Compliance provides advanced software solutions that meet ever-changing compliance guidelines and provide insight from our experts, while making day-to-day compliance management simple and strategic.

CSI OFFERS THE FOLLOWING COMPLIANCE SOFTWARE SOLUTIONS:

- WatchDOG® Elite Platform, a holistic platform that integrates the management of risk, vendors, watch lists, and policies and procedures into one easy-to-use solution

- Stand-alone software solutions for Salesforce.com watch list checking, Reg E, Customer Identification Program (CIP), Reg CC, wire transfers and social media compliance

- CSI Secure Connect, a robust communication portal for your board, employees and committees
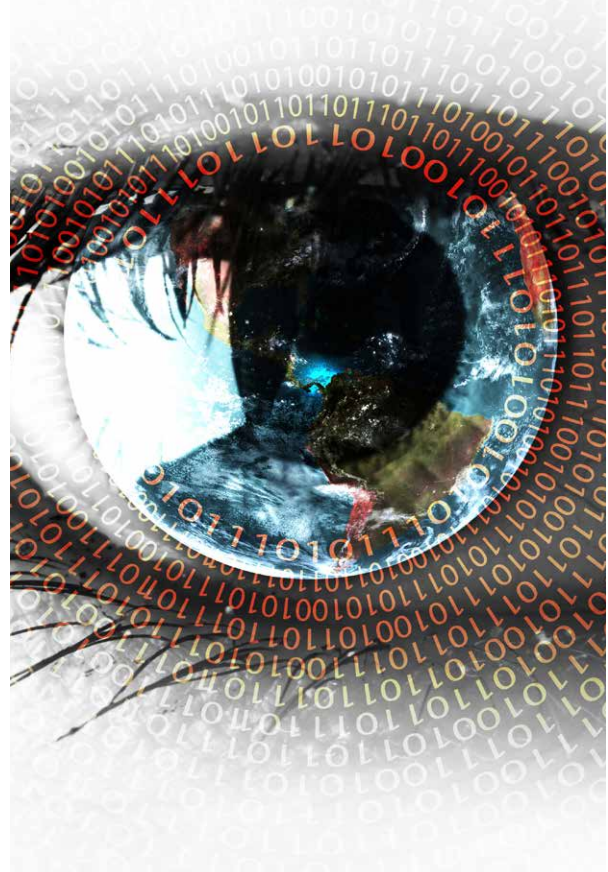
WATCHDOG ELITE PLATFORM

CSI's WatchDOG Elite is a robust Web-based platform that integrates risk management, watch list screening, vendor management, and policies and procedures into one solution to simplify compliance.

CSI'S WATCHDOG ELITE PLATFORM OFFERS THE FOLLOWING:

SmartRisk IQ

Traditional approaches to compliance and risk management don't give you a complete picture of your risk and how it affects performance. It's time to think differently. CSI's SmartRisk IQ, an ERM solution on the WatchDOG Elite platform, proves to examiners that your financial institution is proactively managing risk by securely collecting, storing, analyzing, scoring and reporting on risk data, risk direction and mitigation activities.

- Reduce the cost and burden of managing compliance and risk by taking a proactive, not reactive, viewpoint

- Gain a holistic, integrated perspective on your business, so you can make informed, strategic decisions that move the institution forward

- Engage the management team and inform the board about risks and opportunities

- Satisfy regulatory requirements, providing protection from non-compliance penalties

Watch List Screening

The WatchDOG Elite platform includes an easy, cost-efficient way to verify the legitimacy of your customers, as well as scan your client and vendor lists against OFAC and other government watch lists.

- Take advantage of our advanced search algorithm to quickly and easily compare your customer list against relevant watch lists

- Reduce false matches and increase efficiency with "good" and "blocked" lists in the WatchDOG Elite platform or through our REST API that works within your own case management system

- Easily integrate with your existing system and processes via unattended batch and single look-up (Web service) operations

- Simplify the review-and-resolve process with multi-list aggregation that reduces scrolling and improves user efficiency

For additional watch list functionality, CSI offers add-on services including access to the Dow Jones Watch Lists and High Risk Factors List, an IAT module to ensure watch list compliance for IAT transactions and a Data Master module for automated scheduling of data scanning.

Policies & Procedures

When it comes to managing a stringent compliance program, your policies and procedures lay the foundation for success. CSI's policy management software on the WatchDOG Elite platform streamlines the review, preparation and update of relevant policies, procedures and forms to ensure they meet FFIEC guidance and other industry-related regulatory guidelines.

- Standardize the process and format for all policies and procedures

- Simplify the policy approval and acceptance process

- Reduce complexity with a single place to store and manage policies

- Gain insight through in-depth reporting on policy approval and acceptance, as well as full audit reporting to identify and track which users modified specific policies

Vendor Management

Working with vendors offers several competitive advantages, but they must be managed effectively to maintain compliance with regulations. Ensure your success with WatchDOG Elite Vendor Management to automate and streamline the supervision of vendor relationships.

- Easily collect the necessary demographic data on vendors

- Measure the impact, criticality and sensitivity levels of vendors

- Collect data associated with due diligence required by FFIEC guidance and best practices

- Perform a comprehensive review of the security controls in place for high-risk vendors

- Enter and classify vendor contracts, and store attachments and notes for auditing and tracking

STAND-ALONE COMPLIANCE SOFTWARE SOLUTIONS

Watch List Check for Salesforce

CSI's Watch List Check for Salesforce.com ensures continued compliance by screening your Salesforce information, including accounts, contacts and leads, against more than 20 sanctions lists.

- Ensure the integrity of your contacts with one-click, real-time screening checks

- Manage compliance on a larger scale with batch processing, using a schedule you define

- Keep your data within the Salesforce platform since Watch List Check is a native Salesforce application

WatchDOG Reg E

CSI's WatchDOG for Reg E is a Web-based compliance software solution that automates and simplifies the frustrating manual processes of Regulation E compliance. It also eliminates errors and increases efficiency.

- Ensure deadlines are met within mandated timelines with step-by-step EFT error-resolution procedures in an automated case management system

- Generate appropriate customer notifications to reduce your teller/customer service representatives' paperwork

- Take advantage of an exclusive liability calculator to ensure proper calculation based on the outcome of an investigation

- Minimize the risk of civil or regulatory action due to inaccurate handling of claims

- Utilize a more accurate cost/benefit analysis for investigating and paying claims

- Create enhanced reports on claims or impending due dates using the application dashboard and the reports option

- Calculate NACHA/Visa due dates for chargeback timelines

WatchDOG CIP

CSI's WatchDOG CIP compliance software makes the process of customer identity verification simple and cost-effective, so you remain compliant with the USA PATRIOT Act and the Red Flags Rule.

Choose from three levels of identity verification:

Level I

- Validate the customer's city, state, zip code, driver's license and SSN

- Instantly check the customer's name against the latest OFAC list and verify that the customer's SSN is not listed on the Social Security Administration's Death Master File

Level II

- Verify all key customer information against public databases as well as a national consumer reporting agency and receive a score that indicates the validity of the data

Level III

- Gain an advanced layer of identity verification with an "out-of-wallet" security feature that poses questions only the customer can answer

WatchDOG CIP also offers an optional Red Flags Checklist to facilitate your company's Identity Theft Prevention Program, as well as an optional Fraud History Verification that runs another level of verification, and allows for the identification of unique fraud patterns.

WatchDOG Wire

WatchDOG Wire automates the entire wire transfer process, while enhancing risk detection and supporting BSA/AML, Red Flags and other compliance programs. WatchDOG Wire enables automated processes, improved workflow, OFAC compliance and comprehensive risk management, all in one Web-based compliance solution.
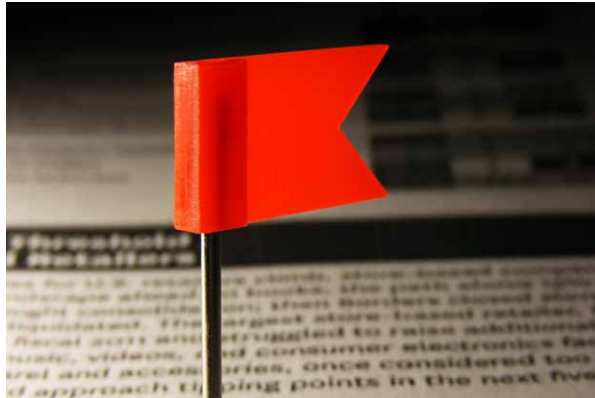
- Format wires for upload to and import from FedLine, FedLine Advantage and other cash management solutions

- Reduce the collective work effort of your employees by streamlining the wire creation and approval process,
including templates for recurring transactions

- Facilitate the assignment
and auditing of all
transaction information

- Incorporate real-time OFAC screening for incoming and outgoing wires, including capturing the originator
and beneficiary country to enable scanning for sanctioned countries

- Monitor wires by location, frequency, specified amounts and velocity of fund by account through AML trending reports

WatchDOG Social Compliance

Social media has shifted communication techniques—along with compliance concerns—dramatically. CSI's WatchDOG Social Compliance helps manage the process outlined within your risk assessment strategy, ensuring you are prepared to handle any issues that arise. Financial institutions can participate in social media conversations more confidently, while ensuring proper compliance with FFIEC guidelines.

- Save time by monitoring, posting, replying, responding, forwarding and "liking" content on multiple social sites from within CSI's social compliance solution

- Set up an approval process within the institution
to ensure posts meet
regulatory guidelines

- Evaluate success through reports on your social activity, social sentiment, searches, click-throughs and social network audiences

- Scan the Internet and specific sites to track/ report on
hits for keywords related to your institution

- Archive all posts and
provide reports that help your
institution evaluate social
media success/ROI

CSI SECURE CONNECT

CSI Secure Connect provides a flexible solution that can be tailored to fit the secure communication needs of your organization, including an employee intranet, board portal, loan committee management portal and more.

- Store current and archived documents for convenience and ease

- Support paperless meetings and secure communication

- Schedule meetings via a shared calendar

- Facilitate communication through online votes, discussion threads and collaboration tools

- Tackle loan committee management activities

- Reduce the need for email, broadcast messages, paper forms, copies and faxes

CSI Secure Connect also enables convenient tablet access through an iPad app that improves your ability to share information securely and efficiently.

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