

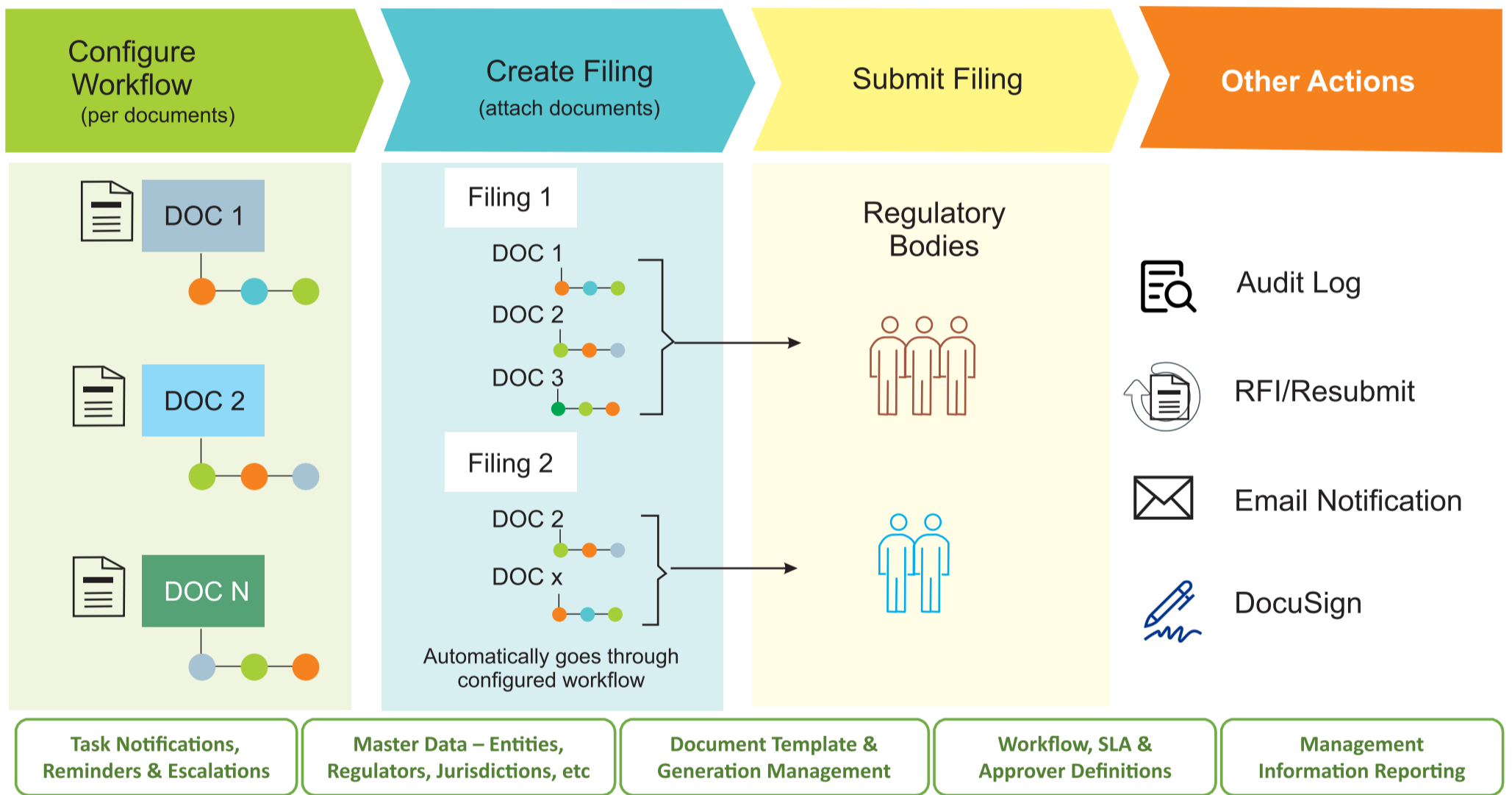
# Regulatory Filing Solution

A ready-to-deploy solution for all Regulatory Filing Events, enabling full workflow and task management, complete audit trail, document integration and reporting.

Companies working in any kind of regulated environment will have to submit content to their regulators from time to time. Regulators are increasingly demanding greater transparency and evidence that firms have robust processes for gathering the data, as well as reviewing the data submitted. It is common for the timetable and schedule, content types and the review, approval and submission tasks to vary across regions and regulators, resulting in a critical process becoming complex and inefficient. Yexle's Regulatory Filing solution combines the benefits of workflow and task management with collaboration and automation to offer an end-to-end solution for managing the global landscape of regulatory submissions management.

## Solution Overview

- Accelerated digital transformation, streamlined operations and increased agility, leading to improved productivity and advantage in submitting and responding a regulatory filing request.
- Rule-based configurable and scalable workflow, taking real-time inputs and conditions to optimise tasks and work allocation
- Workflow and Case management to route, monitor and close cases for escalations and avoid breaching SLAs
- Real time and historical management information and reporting for continuous improvement, audit and compliance monitoring



## CHALLENGES

- Complex scheduling of many different filing events across regions, business lines and quarters, with duplicating data and deadlines
- Content and document gathering, review and approval lacks a robust audit trail and clear ownership
- Manual and repetitive tasks which could be automated, consolidated and optimised
- No management information reporting or visibility of the work or people involved

## BENEFITS

- A full audit trail from inception to submission, detailing all tasks, reviews and approvals and document references
- Automation with dynamic document generation, integration to DocuSign and Enterprise Document Management platforms
- Configurable and customisable filing case parameters and workflows
- One stop solution provides the transparency and progress of submissions from the start of filing to completion
- Increased productivity and efficiency, with clear task assignment and ownership, improved data quality and reduced risk

