

Since 2009 regulatory risk has grown to become a board-level concern. Failure to put in place adequate controls has resulted in thousands of compliance cases being brought by regulators globally. Resulting in eye-watering fines, bans and jail time. Regulatory risks have a very visible impact on financial performance. Firms are under such financial strain from regulatory fines that Tier One capital has been eroded to dangerous levels. Directly impacting their ability to lend.

New risks will continue to emerge from revised regulations impacting anti-money laundering, customer due diligence, market conduct, solvency, third party risk and more.

## Corlytics is the world leader in regulatory risk intelligence

We provide world leading risk intelligence solutions. Our data and analytics of global enforcement trends provides insight to measure, predict and calculate regulatory outcomes and impact. Allowing you to make transformational, informed, positive choices.

**Enforcement Database** - At the heart of the Corlytics solution is a dataset that aggregates and standardises regulatory enforcement. Corlytics has over 7,000 cases in our database, and we are growing it daily. Each case is reviewed by specialist lawyers who annotate the case providing metadata and insight.

Our risk intelligence covers individuals as well as firms. We track enforcement trends where regulators take action against employees resulting in prison sentences, bans or other consequence. This intelligence covers multiple jurisdictions including the FCA Senior Manager and Certification regime in the UK.

**Regulatory Metadata Structure** - Regulators apply different enforcements models and processes. Corlytics has developed a taxonomy that structures enforcement notices enabling you to look across jurisdictions for common trends and patterns. This global intelligence means we can pick out emerging trends that are otherwise invisible.

**Measuring Regulatory Risks** – Corlytics enables you to measure regulatory risks. With more than 40 regulatory categories Corlytics provides fine-grained intelligence enabling you to compare your risk profile to that of your industry including your peer group.

**Scenario Planning** – With Corlytics, you can model possible scenarios such as entry into a new jurisdiction to understand a future risk profile.

**Risk Mitigation** – Corlytics deconstructs each case to understand violation categories, examine control deficiencies and understand remediation actions in detail. This intelligence can feed into the evolution of your firm's control framework.

Contact us today if you would like more information about Corlytics and our solutions: [info@corlytics.com](mailto:info@corlytics.com) [www.corlytics.com](http://www.corlytics.com)

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## Key Benefits

- > **Regulatory heatmaps:** Track the impact of regulatory enforcement across your service lines broken down by more than 40 regulatory categories
- > **Market and peer group analysis:** Compare your risk profile to that of your industry and peer group
- > **Controls analysis:** Understand the control weaknesses that are driving patterns of enforcement action
- > **Scenario planning:** Measure changes in regulatory risk profile by jurisdiction and by service line
- > **Board-level reporting:** Create regulatory risk reports for the risk committee
- > **Global enforcement database:** Access intelligence derived from a live database of regulatory enforcement updated daily by our legal specialists

