

# Embedding Financial Regulations to Ensure Operational Compliance

## Case Study

### **Financial Services Organization uses BusinessOptix to embed mission critical regulations into operating model and processes**

A financial services organization was going through a period of dramatic change driven by new FCA regulations and license requirements. Central to this they needed to demonstrate that they embedded the regulation into the way they run the business (e.g. how they manage potentially vulnerable clients).

The organization used BusinessOptix to map their customer journeys and embed the FCA regulations into those journeys. Through being able to demonstrate adherence to the regulations they were able to achieve FCA approval for a new license.

Where previously the compliance team created a regulations handbook and provided this as a reference guide to the operations teams, they now work collaboratively to create and manage it. By working closely together they have sped up decision making and created a harmonious working environment.

Going forward, as regulations are updated the team is able to quickly adjust their processes in line with the change.



## About BusinessOptix

At BusinessOptix, we help organizations Control Today, Navigate Tomorrow™ to achieve the next level of customer and operational excellence. Our cloud-based Business Process Transformation suite is used by hundreds of global firms to capture and redefine business operating and process models, accelerate transformations across the enterprise, improve operational efficiencies and streamline go-to-market processes.

For further information please visit our website, or contact us:

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