

# Embedding Financial Regulations to Ensure Operational Compliance

## Case Study

### Financial Services Organization uses BusinessOptix to embed mission-critical regulations into operating models and processes

#### Challenge:

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 regulations into the way they run the business and how they manage clients.

#### Solution:

The organization used BusinessOptix to map the process underlying their customer journeys and embed the FCA regulations into those journeys. Utilizing BusinessOptix process documentation they were able to demonstrate adherence to the regulations achieving FCA approval for a new license.

#### Results:

Previously the compliance team created a regulations handbook and provided this as a reference guide to the operations teams. The team now works collaboratively to create and manage the reference guide with BusinessOptix as the centralized repository for all process and data-related information; making it easier, more operationally efficient, and more cost-effective for the team to access and share information across the organization. Most importantly this ensures everyone is able to stay informed and up-to-date on the latest regulations.

By working closely together and using the governance collaboration and communications tools such as commenting, tagging, approval workflow, and real-time notifications, available in BusinessOptix, they have sped up decision-making and created a harmonious working environment.

Using the BusinessOptix platform, our client now has better transparency and governance to demonstrate their adherence to the necessary regulations to the financial regulators.

#### Future Plans:

Going forward, as regulations are updated, the team can quickly adjust, have approved and make visible, their processes and related documentation 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.

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