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COMPLIANCE TECHNOLOGIES

Case Management

Personal Trading | Affirmations, Certifications, and Disclosures | Case Management | Gifts, Entertainment, and Contributions

Case Management is a powerful tool that helps compliance professionals manage the flow and administration of projects and tasks across their organization. The system enables the creation of a personalized compliance calendar, which centralizes all information into one data store, making it easier to maintain accurate records, stay on top of tasks, track issues, and streamline reporting to more easily address your needs. The flexibility can be used to help manage projects at the firm level in addition to compliance-related issues.

Customizable templates adapt with your business needs.

Case Management comes preloaded with a library of commonly used templates. You can easily customize the templates to adapt to evolving regulatory requirements without IT assistance. You can also build new forms, checklists, or project-tracking tools to help manage the volumes of data that you are required to maintain. The most commonly used templates include:

- Vendor management
- Regulatory inquiry
- Regulatory review
- Marketing review
- New-hire checklist
- Supervisory checklist
- Client complaint

Personalized calendar of projects and tasks for better perspective.

The tool allows you to create a personalized calendar of events for each user, which makes it easier to track projects and tasks week by week, month by month. The at-a-glance calendar and activity view also help you stay organized and give you better perspective on the overall picture. You can also:

- Schedule recurring tasks.
- Access projects and cases to make notes and attach relevant files.
- Easily find information associated with each task as well as the project history.

Robust tracking capabilities.

Because case management often involves multiple people throughout its various stages, this tool allows you to track activity and tasks from start to finish. This gives you visibility into current projects and creates an audit trail, which provides a valuable history of events. With these tracking features, you can:

- Alert users about new assignments and send reminder notices as due dates approach.
- Attach files to cases, making it easy to keep information organized and easily accessible.
- Communicate information from one user to another.
- Review audit log and export data for additional analysis or review.

Manage projects across the organization.

Not just for compliance professionals, Case Management is a great overall project-tracking tool that gives departments across the organization a way to better manage projects and their associated tasks. If you need to control access to the system, you can set permissions by task, individual, intended use, and more.

Reports when you need them.

In addition to a robust database of standard reports, ad hoc reports can be generated and exported, giving you the critical information you need when you need it.

Get started. | Call 1-877-456-0777. | Get details at schwab.com/compliancesolutions.

Taking ownership of compliance means staying ahead of the regulatory landscape, seeing the big picture, and maintaining control. But it doesn't mean doing it on your own. Compliance Solutions' employee-monitoring offer includes Schwab Designated Brokerage Services, Schwab Compliance Technologies® cloud-based employee-monitoring software, and a wide range of financial products and services for employees. These solutions can help you proactively manage compliance, promote a positive employee experience, build long-term value across your business, and instill trust with clients.

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