



Legislative Compliance Management Solution

The Legislative Compliance Management Solution (LCMS) is a centralized and automated tool designed to empower organizations to easily track and achieve regulatory compliance.

Compliance Year	Compliance Category	Act Statute	Section Number	Topic	Level	Report To	Final Due Date
2008	OSFI Guideline B-7 Derivative Best Practices		12	TOPIC CHANGE REP	2	Croze [english profile], Jan	31 Mar 2006
2007	IA Anti-Money Laundering	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations	64.00	Measures and Timeframe for Ascertainng Person's Identity for Client Information Record	3	Hamilton, Jonathan	31 Dec 2007
2008	OSFI Guideline B-7 Derivative Best Practices	OSFI Guideline B-7 Derivative Best Practices		Derivatives - Exposure Limits	2	Croze [english profile], Jan	30 Apr 2008
2010	OSFI Guideline B-7 Derivative Best Practices	Quebec Regulation Respecting the Application Of The Act Respecting Insurance	339.30	Advertisement to disclose exclusions	2	Croze [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Quebec Regulation Respecting the Application Of The Act Respecting Insurance	336.30	Advertising Non-uniform Premiums	2	Croze [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Alberta Insurance Act	505.20	Additional Fees JOEL NEW	2	Croze [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Quebec Act Respecting Insurance	285.32	Authority's Instructions	2	Croze [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	496.00	Approval for Indirect Investments	2	Croze [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	76.00	Addition to Stated Capital Account	2	Croze [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	303.00	Audit Committee	2	Croze [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	246.00	Amalgamation Agreement	2	Croze [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	385.30	Application for Court Supervision	2	Croze [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations	56.00	Ascertainng Corporate Identity for Client Information Record	2	Croze [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Personal Information Protection Act (Alberta)	24.00	Access and Removing Other Confidential Information	2	Croze [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	303.00	Application for Court Supervision (Voluntary Liquidation)	2	Croze [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act	601.00	Additional Insurance or Other Loss (Cost of	2	Croze [english profile], Jan	31 Dec 2010

Benefits of LCMS

Ensuring that an organization achieves industry compliance can be a significant task. The Legislative Compliance Management Solution (LCMS) offers peace of mind for organizations striving to meet regulatory compliance in a stress-free and efficient process.

Providing the appropriate tools to manage compliance requirements and risk assessments, LCMS' centralized and automated processes allow organizations to meet industry benchmarks in a timely manner with ease.

Features such as workflow capabilities and configurable notifications, empower organizations to allocate resources effectively to ensure compliance requirements are met. LCMS' flexible reporting engine provides the necessary progress reports to keep users informed of the status of each element throughout the entire process.

With the flexibility to fit all industries and a long list of time-saving features and benefits, LCMS is built to meet the compliance requirements of any organization.

What can LCMS do for your business...

- Significantly reduce the amount of time and resources involved in achieving compliance requirements
- Ensures that the organization is fully aware of all regulatory requirements and deadlines
- Allows users to quickly view, assign, and track compliance requirements within the organization
- Stay informed of compliance progress and completion status- Progress reports can be shared with others in just a click of a button
- Benefit from a sophisticated workflow system to control the compliance approval process
- Retain a full audit history of all activities
- Provides the ability to bulk upload compliance information from predefined spreadsheet templates
- Provides the ability to access, post, and link relevant reference material from central resource library

LCMS Legislative Compliance Management System

Administration | My Compliance Information | Search | Resource Library

Clear Save Submit Print Go to Next Element Spell Check

Amalgamation Agreement
Reporting Period: 12, Final Due Date: 31 Dec 2010

Compliance Category:	OSFI Guideline B-7 Derivative Best Practices	Compliance Year:	2010
Compliance Element:	Each applicant proposing to amalgamate shall enter into an amalgamation agreement that sets out the terms and means of effecting the amalgamation.	Topic:	Amalgamation Agreement
Section Number:	246.00	Subsection Number:	1
Act Statute:	Insurance Companies Act (Canada)	Reporting Frequency:	Annually
Reporting Frequency:	Annually	Review Reporting Process:	
Policy Creation Date:		Revised Date:	08 Sep 2010
Additional Information (Comments):	This is default Additional Information (not rolled over)		

In Compliance	Documentation	User-Defined Fields	Risk Profile	Work Flow	History
Compliance Year:	2010			Reporting Period:	12
Assigned To:	Hamilton, Jonathan			Level:	2
In Compliance:				Final Due Date:	31 Dec 2010
Compliance Comments:				Non-Compliance Reason:	
UDF Label 6:				Action Plan Date:	



Key Features

Compliance Management

- Allows users to quickly view, assign, and track compliance requirements information and completion status
- Set frequency of compliance cycles, mandatory fields and notification/escalation rules
- Ability to load compliance information from multiple sources
- Ability to “roll over” compliance elements annually

Resources

- Central resource library stores related content and information
- Ability to reference material from resource library to multiple compliance elements

Security

- Strong audit trail and documentation of all activities
- Varying levels of access based on user roles
- Single-Sign-On with Windows authentication

Report and Tracking

- Ability to export data to Microsoft Excel
- Ability to generate and print pdf reports
- Advanced search capabilities allow compliance elements to be located by all fields

Flexible workflow

- Configurable task responsibilities based on roles and user hierarchy
- Ability to re-assign tasks to users to prevent bottlenecks in the compliance process
- Assign people to roles with ease, including time-efficient option of ‘mass’ assigning individuals

Administration

- Intuitive design and easy to use system
- Three types of user roles: Administration, Reader and Editor
- Fully bilingual system

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