



POINT ALLIANCE

6 solutions in 60 minutes

Take control of your web site with easy to use administration.

Compliance Management Solutions



Overview

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

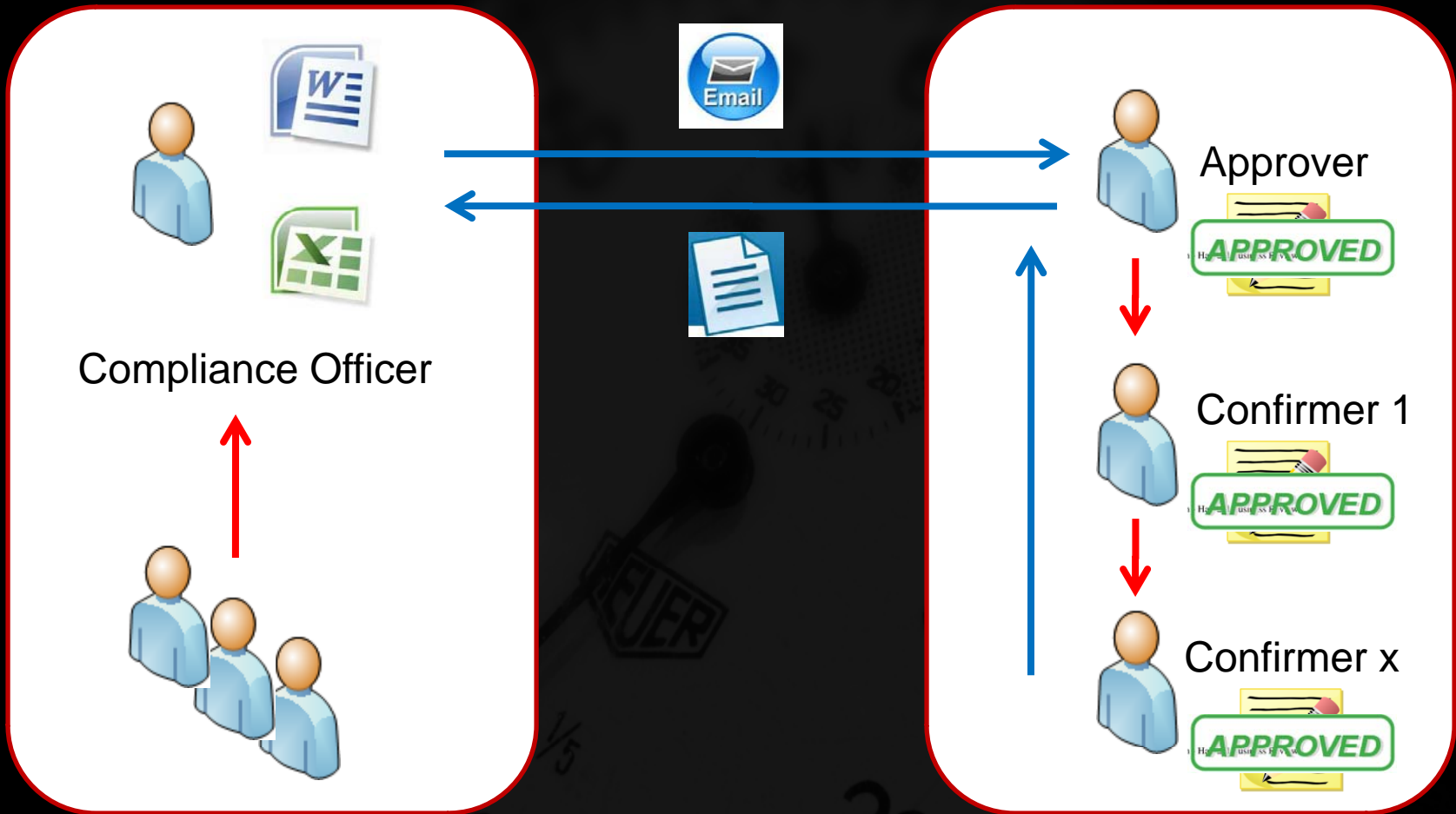


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Process



Compliance Department

Approvers / Confirmers



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Challenges

- Slow and cumbersome (the process takes too long)
- Lack of control or visibility of the process
- Difficult for reporting and tracking
- Security & auditability



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Features

- Browser based centralized solution
- Allows users to quickly view, assign, and track compliance requirements information and completion status
- Resource library stores related content and information
- Configurable forms
- Fully Bilingual



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Security & Reporting

Security

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

Reporting

- Ability to export data to Microsoft Excel
- Ability to generate and print pdf reports
- Advanced search capabilities



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Administration

- Set frequency of compliance cycles, mandatory fields and notification/ escalation rules
- Ability to load compliance information from multiple sources (using templates)
- Configurable multi-level workflow
- Bulk utilities
- Ability to “roll over” compliance elements annually



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LCMS Legislative Compliance Management System

Administration | My Compliance Information | Search | Resource Library

My Active Com **Active** mation
 Pending
 Completed

Records 21 - 40 of 53 << First < Previous Next > Last >>

Compliance Year	Compliance Category	Act Statute	Section Number	Topic	Level	Report To	Final Due Date
2010	OSFI Guideline B-7 Derivative Best Practices	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations	56.00	Ascertaining Corporate Identity for Client Information Record	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Nunavut Insurance Act	230.00	Advertising - Name other than in licensing	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Quebec Act Respecting Insurance	285.32	Authority's Instructions	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Quebec Regulation Respecting the Application Of The Act Respecting Insurance	236.00	Advertising Non-uniform Premiums	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	OSFI Guideline B-8 Deterring and Detecting Money Laundering		Basis of Policies and Procedures	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations	53.00	Ascertaining Individual's Identity for Large Cash Transaction Record	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	165.00	Audit Committee	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Personal Information Protection Act (Alberta)	22.00	Business Transactions	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	367.00	Actuary's Opinion (Actuarial and other policy liabilities)	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	609.00	Adequacy of assets - Compliance with directives	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	232.00	Application to Superintendent	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	623.00	Appointment of Actuary	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)é	508.00	Aggregate Limité	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	385.00	Application for Court Supervision	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	383.00	Approval of Minister Required	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	687.00	Assessment Expenses Charged	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	644.00	Auditor's Report	2	Crowe [english profile], Jan	31 Dec 2010
2010	OSFI Guideline B-7 Derivative Best Practices	Insurance Companies Act (Canada)	203.00	Audit Committee	2	Crowe [english profile], Jan	31 Dec 2010

LCMS Legislative Compliance Management System

Name: Jonathan Hamilton
 Role: Admin

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Ascertaining Corporate Identity for Client Information Record

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

Compliance Category:	OSFI Guideline B-7 Derivative Best Practices	Compliance Year:	2010
Compliance Element:	A life insurance company or life insurance broker or agent must, in accordance with Section 65, confirm the existence of, and ascertain the name and address of, every corporation for which a client information	Topic:	Ascertaining Corporate Identity for Client Information Record
Section Number:	56.00	Subsection Number:	3
Act Statute:	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations		
Reporting Frequency:	Annually	Review Reporting Process:	
Policy Creation Date:	<input type="text"/>	Revised Date:	07 Oct 2004
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:	<input type="text"/>	Final Due Date:	31 Dec 2010
Compliance Comments:	<input type="text"/>	Non-Compliance Reason:	<input type="text"/>
UDF Label 6:	<input type="text"/>	Action Plan Date:	<input type="text"/>

Ascertaining Corporate Identity for Client Information Record

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

Compliance Category:	OSFI Guideline B-7 Derivative Best Practices	Compliance Year:	2010
Compliance Element:	A life insurance company or life insurance broker or agent must, in accordance with Section 65, confirm the existence of, and ascertain the name and address of, every corporation for which a client information	Topic:	Ascertaining Corporate Identity for Client Information Record
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Act Statute:	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations		
Reporting Frequency:	Annually	Review Reporting Process:	
Policy Creation Date:	<input type="text"/>	Revised Date:	07 Oct 2004
Additional Information (Comments):	This is default Additional Information (not rolled over)		

Link Existing Resource | Create New Resource

Controls/Documentation	Location of Documentation	# Att.'s	Created By	Created Date
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Ascertaining Corporate Identity for Client Information Record
 Reporting Period: 12, Final Due Date: 31 Dec 2010

Compliance Category:	OSFI Guideline B-7 Derivative Best Practices	Compliance Year:	2010
Compliance Element:	A life insurance company or life insurance broker or agent must, in accordance with Section 65, confirm the existence of, and ascertain the name and address of, every corporation for which a client information	Topic:	Ascertaining Corporate Identity for Client Information Record
Section Number:	56.00	Subsection Number:	3
Act Statute:	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations		
Reporting Frequency:	Annually	Review Reporting Process:	
Policy Creation Date:	<input type="text"/>	Revised Date:	07 Oct 2004
Additional Information (Comments):	This is default Additional Information (not rolled over)		

UDF Label 1:	<input type="text"/>	UDF Label 2:	<input type="text"/>
UDF Label 3:	<input type="text"/>	UDF Label 4:	<input type="text"/>
UDF Label 5:	<input type="text"/>		

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Ascertaining Corporate Identity for Client Information Record

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Section Number:	56.00	Subsection Number:	3
Act Statute:	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations		
Reporting Frequency:	Annually	Review Reporting Process:	
Policy Creation Date:	<input type="text"/>	Revised Date:	07 Oct 2004
Additional Information (Comments):	This is default Additional Information (not rolled over)		

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Risk Profile Breach Likelihood:	<input type="text"/>	Risk Profile Details:	<input type="text"/>
Risk Profile Breach Impact:	<input type="text"/>		
Risk Profile Calculation:	<input type="text"/>		

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

Compliance Category:	OSFI Guideline B-7 Derivative Best Practices	Compliance Year:	2010
Compliance Element:	A life insurance company or life insurance broker or agent must, in accordance with Section 65, confirm the existence of, and ascertain the name and address of, every corporation for which a client information	Topic:	Ascertaining Corporate Identity for Client Information Record
Section Number:	56.00	Subsection Number:	3
Act Statute:	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations		
Reporting Frequency:	Annually	Review Reporting Process:	
Policy Creation Date:	<input type="text"/>	Revised Date:	07 Oct 2004
Additional Information (Comments):	This is default Additional Information (not rolled over)		

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Administrator, Administrator (POINTALLIANCE\Administrator) [Assign](#)

Records 1 - 4 of 4

Level	Assigned To	Report To	In Compliance	In Compliance User Name	In Compliance Date	Action Plan Date	Workflow Status	View Workflow	In Compliance Comments
1	Crowe [english profile], Jan						Pending		
2	Boado, Eleanor	Crowe [english profile], Jan					Active		
2	Hamilton, Jonathan	Crowe [english profile], Jan					Active		
2	Reinders, Johan	Crowe [english profile], Jan					Active		

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Compliance Category:	OSFI Guideline B-7 Derivative Best Practices	Compliance Year:	2010
Compliance Element:	A life insurance company or life insurance broker or agent must, in accordance with Section 65, confirm the existence of, and ascertain the name and address of, every corporation for which a client information	Topic:	Ascertaining Corporate Identity for Client Information Record
Section Number:	56.00	Subsection Number:	3
Act Statute:	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations		
Reporting Frequency:	Annually	Review Reporting Process:	
Policy Creation Date:	<input type="text"/>	Revised Date:	07 Oct 2004
Additional Information (Comments):	This is default Additional Information (not rolled over)		

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Created By:	Crowe [english profile], Jan	Modified By:	Crowe [english profile], Jan
Created Date:	12 Jul 2006	Modified Date:	12 Jul 2006
Import Status:	No Change		

Records 1 - 2 of 2

Table	Field	From	To	Modified By	Modified Date
Compliance Information Workflow Detail	Assigned To	User , Test	Hamilton , Jonathan	Hamilton, Jonathan	03 May 2010
Compliance Information	Section Number		56.00	Crowe [english profile], Jan	12 Jul 2006

Search

Compliance Year:	2007	Compliance Category:	IA Anti-Money Laundering
Compliance Element:		Topic:	
Section Number:		Subsection Number:	
Act Statute:		Jurisdiction:	
Reporting Frequency:		Review Reporting Process:	
Policy Creation Date >=:		Policy Creation Date <=:	
Revised Date >=:		Revised Date <=:	
Additional Information (Comments):		Report To:	
Assigned To:		Reporting Period:	
In Compliance:		Due Date <=:	
Due Date >=:		Non-Compliance Reason:	
Compliance Comments:		Action Plan Date <=:	
Action Plan Date >=:		Include All Approval Responses:	Yes
Workflow Status:		UDF Label 2:	
UDF Label 1:		UDF Label 4 <=:	
UDF Label 3:		UDF Label 5 <=:	
UDF Label 4 >=:		Risk Profile Breach Likelihood:	
UDF Label 5 >=:		Risk Profile Calculation <=:	
UDF Label 6:		Modified By:	
Risk Profile Breach Impact:		Created Date <=:	
Risk Profile Calculation >=:		Modified Date <=:	
Risk Profile Details:			
Created By:			
Created Date >=:			
Modified Date >=:			
Import Status:			

Search

Search Results

Export To CSV		Print		By Compliance Category	Report	Records 1 - 20 of 125 Next > Last >>				
Compliance Year	Compliance Category	Section Number	Topic	Level	Report To	Final Due Date	Assigned To	Workflow Status		
2007	IA Anti-Money Laundering	4.00	Appointment of the Compliance Officer	1		31 Dec 2007	Crowe [english profile], Jan	Active		
2007	IA Anti-Money Laundering	56.00	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations	1		31 Dec 2007	Crowe [english profile], Jan	Active		
2007	IA Anti-Money Laundering		Financial Transactions and Reports Analysis Centre of Canada (FINTRAC) Guideline 4: Implementation of a Compliance Regime	1		31 Dec 2007	Crowe [english profile], Jan	Active		
2007	IA Anti-Money Laundering	53.00	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations	1		31 Dec 2007	Crowe [english profile], Jan	Active		
2007	IA Anti-Money Laundering	56.00	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations	1		31 Dec 2007	Crowe [english profile], Jan	Active		
2007	IA Anti-Money Laundering	56.00	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations	1		31 Dec 2007	Crowe [english profile], Jan	Pending		
2007	IA Anti-Money Laundering	56.00	The Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations	2	Crowe [english profile], Jan	31 Dec 2007	LCMS, User	Active		
2007	IA Anti-Money Laundering		OSFI Guideline B-8 Deterring and Detecting Money Laundering	2	Crowe [english profile], Jan	31 Dec 2007	Boado, Eleanor	Active		
2007	IA Anti-Money Laundering		OSFI Guideline B-8 Deterring and Detecting Money Laundering	1		31 Dec 2007	Crowe [english profile], Jan	Pending		
2007	IA Anti-Money Laundering		OSFI Guideline B-8 Deterring and Detecting Money Laundering	2	Crowe [english profile], Jan	31 Dec 2007	Administrator, Administrator	Active		
2007	IA Anti-Money Laundering		OSFI Guideline B-8 Deterring and Detecting Money Laundering	2	Crowe [english profile], Jan	31 Dec 2007	Hamilton, Jonathan	Active		
2007	IA Anti-Money Laundering		OSFI Guideline B-8 Deterring and Detecting Money Laundering	1		31 Dec 2007	Crowe [english profile], Jan	Active		
2007	IA Anti-Money Laundering		OSFI Guideline B-8 Deterring and Detecting Money Laundering	2	Crowe [english profile], Jan	31 Dec 2007	LCMS, User	Submitted		

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Add Compliance Information			
Import Compliance Information			
Administration Tools			
Manage Compliance Year Profiles			
Manage Application Configuration	2010	Compliance Category:	
Manage Field Configuration		Topic:	
Manage Import Profiles		Subsection Number:	
Manage User Profiles		Jurisdiction:	
Manage Compliance Category Picklist		Review Reporting Process:	
Manage In Compliance Picklist		Policy Creation Date <=:	
Manage Risk Profile Picklist		Revised Date <=:	
Manage User Defined Field 3 Picklist		Report To:	
Revised Date >=:		Reporting Period:	
Additional Information (Comments):		Due Date <=:	
Assigned To:		Non-Compliance Reason:	
In Compliance:		Action Plan Date <=:	
Due Date >=:		Include All Approval Responses:	Yes
Compliance Comments:		UDF Label 2:	
Action Plan Date >=:		UDF Label 4 <=:	
Workflow Status:		UDF Label 5 <=:	
UDF Label 1:		UDF Label 6:	
UDF Label 3:		Risk Profile Breach Impact:	
UDF Label 4 >=:		Risk Profile Breach Likelihood:	
UDF Label 5 >=:		Risk Profile Calculation >=:	
Risk Profile Details:		Risk Profile Calculation <=:	
Created By:		Modified By:	
Created Date >=:		Created Date <=:	
Modified Date >=:		Modified Date <=:	
Import Status:			

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Import Profile

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Compliance Category	IA Anti-Money Laundering
Import Type	Roll-over
Retain Workflow	<input checked="" type="checkbox"/> Yes
Retain Workflow Responses	<input checked="" type="checkbox"/> Yes
Retain Documentation	<input type="checkbox"/> Yes
Retain Risk Profile Breach Likelihood	<input type="checkbox"/> Yes
Retain Risk Profile Breach Impact	<input type="checkbox"/> Yes
Retain Risk Profile Calculation	<input type="checkbox"/> Yes
Retain UDF Label 3	<input type="checkbox"/> Yes
Last Modified Date Cutoff	28 May 2010

LCMS Field	Action	Column Number	Default Text
Topic	<input type="radio"/> Leave Blank <input checked="" type="radio"/> Retain Value From Previous Year <input type="radio"/> Default Text		
Act Statute	<input type="radio"/> Leave Blank <input checked="" type="radio"/> Retain Value From Previous Year <input type="radio"/> Default Text		
Jurisdiction	<input type="radio"/> Leave Blank <input checked="" type="radio"/> Retain Value From Previous Year <input type="radio"/> Default Text		
Section Number	<input type="radio"/> Leave Blank <input checked="" type="radio"/> Retain Value From Previous Year <input type="radio"/> Default Text		
Subsection Number	<input checked="" type="radio"/> Leave Blank <input type="radio"/> Retain Value From Previous Year <input type="radio"/> Default Text		
Compliance Element	<input checked="" type="radio"/> Leave Blank <input type="radio"/> Retain Value From Previous Year <input type="radio"/> Default Text		

Summary

- Centralized
- Flexible
- Importing
- Reporting
- Auditing
- Secure



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