

FINTELLIX

# Compliance Tracker



# Compliance Tracker

## Identify. Assign. Monitor.

Your one-stop shop for end-to-end compliance management

### Challenge

There are many moving parts when it comes to everyday work at financial institutions. With numerous regulations and circulars to track, these manual processes often lead to inefficiencies and potential compliance gaps.

To help alleviate these manual processes, regulatory organizations have emphasized the need for robust compliance monitoring systems in supervised entities. With the rapidly evolving regulatory landscape, financial institutions face several challenges including:

- **Lack of unified oversight:**  
Struggle to gain a comprehensive view of compliance tasks across the organization.
- **Regulatory complexity:**  
Keeping up with frequent regulatory updates and their impact on business operations as a result exposing the financial institution to monetary penalties and reputation loss.
- **Manual processes:**  
Heavy reliance on manual tracking leads to inefficiencies, delays, and potential compliance gaps.
- **Inadequate collaboration:**  
Disconnected communication between compliance, business, and IT teams hampers seamless compliance management.



## Solution

Fintellix India Pvt Ltd presents its Compliance Tracker (C-Trac), a platform designed to streamline the entire regulatory compliance lifecycle. C-Trac fulfills the need for a technology-driven compliance system, integrating communication, monitoring, and escalation processes in a single solution.

With C-Trac, organizations gain a holistic view of their compliance landscape, including a detailed record of approvals, rejections, and associated documentation. This enables financial institutions to have a proactive approach to risk management and enable more informed decision-making.

## Approach

### Compliance Tracker (C-Trac)



#### Case Manager

- Enables you to assign, manage and track ad-hoc requests
- Document and retrieve responses on various tasks



#### Regulatory Intelligence

- Tracks changes in regulatory guidelines, circulars, etc.
- Provides insights on impact areas from changes



#### Regulatory Reporting and Compliance Dashboard

- Helps to plan, manage, perform, and track all the regulatory reporting tasks
- Measure progress and performance from time to time



## Highlights

C-Trac provides financial institutions with:



### Unified dashboard view

Gain a centralized, consolidated view of compliance across your organization.



### End-to-end compliance management

Identify, assess, monitor, and manage compliance requirements, from initiation to task closure.



### Escalation mechanisms and alerts

Automatically flag and escalate issues of non-compliance and track approvals for deviations or delays.



### AI-enhanced monitoring

Keep pace with frequent regulatory changes and quickly identify actionable tasks.



### Actionable workflows

Automate task creation, assignment, and tracking which reduces manual intervention.

## Benefits

### Proactive compliance management

Reduce risk by staying ahead of regulatory mandates.

### Streamlined operations

Automate routine tasks, enabling your team to focus on strategic compliance initiatives.

### Improved collaboration

Connect stakeholders on a single platform for efficient compliance execution.

### Regulatory readiness

Be audit-ready with a comprehensive audit trail and pre-built compliance reports.



Visit [fintellix.com](https://fintellix.com) or reach out at [info@fintellix.com](mailto:info@fintellix.com)

## About Fintellix India Pvt Ltd.

Fintellix is operating in the intersection of regulators and regulated entities by providing cutting edge risk, regulatory, supervisory and data analytics solutions.