

CORE is Waystone's comprehensive RegTech solution designed to be the hub for all compliance matters within your firm.

CORE is a reliable, single source of truth that gives your firm real-time oversight of your compliance framework, ensuring that you stay in control over your regulatory obligations.

## CORE Features

- **Policy Library:** Publish Policies to all employees or target audience with full version control
- **Conflict of Interests:** Management of Restricted Lists, Gifts and Entertainment, Outside Business Interests, Disclosures and Approvals
- **PA Dealing:** PA Trade disclosure and approval with full oversight of all trading activity
- **Monitoring:** Schedule, deliver, remediate and report on risk based monitoring programmes
- **Attestations:** Tailored attestation issuance with automated tracking and reminders
- **SM&CR:** Manage SMF records, issue and track certificates, record fitness and propriety
- **Registrations:** Record individual registrations with the regulator cross jurisdictionally
- **Incident Management:** Manage complaints, breaches, incidents, and trading errors
- **Financial Promotions:** Review and approve marketing with a full audit trail
- **Filings:** Filing calendar with assign ownership and proof of completion
- **Reporting:** Produce reports from each module containing vital management information
- **Record Keeping:** Maintain all compliance documentation in one place in accordance with the FCA's record keeping requirements

"CCL CORE provides our Senior Management and Compliance team with the tools required to oversee and meet its key FCA obligations."

Head of Compliance,  
International Corporate Finance

## CORE Benefits

- **Evidence:** Full audit trail of compliance activities, documentation and incident management
- **Control:** Real-Time RAG dashboards give senior management full oversight and control
- **Efficient:** Save significant time in managing your compliance tasks and administration, creating time value-added activity
- **Accessible:** Centralised web-based platform allowing record and retrieval of your compliance universe
- **Integration:** Seamlessly brings your compliance processes onto platform
- **Culture:** Demonstrably bring compliance ownership to all employees through individual access
- **Resource Optimisation:** Allows skill compliance employees to deliver more value to your business
- **Transparent:** Greater operational transparency for employees at all levels of your organization
- **Adaptable:** A platform that is scalable and adaptable to your growing organisation and an everchanging regulatory landscape
- **Simple:** Brings a simple and streamlined workflow to your organisation's compliance arrangements

"The attestation function alone has saved us 1.5 FTE. This has really helped with our efficiency."

Head of Central Compliance,  
Global Investment Manage

Regardless of the size, sector or complexity of your organisation, CORE can help you address many of the challenges faced in today's regulated environment. Book your free demo today. Visit [compliance.waystone.com](https://compliance.waystone.com) and or email us at [compliancesolutions@waystone.com](mailto:compliancesolutions@waystone.com).