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## **New Reg Matrix™ Helps Broker-Dealers Manage Change in Today's Regulatory Environment**

*CFM Partners' Reg Matrix Mitigates Delay and Disruption on a Whole New Level*

**Washington, D.C. – April 4, 2017** – “Change is the only constant,” has taken on new meaning in recent months throughout the financial services industry, particularly among risk and compliance executives. In response to the challenges of this environment, [CFM Partners](#) has released a solution that provides executives with the ability to stay up-to-the-minute on regulatory changes that impact their business through a single, easy-to-use interface. The solution is called [Reg Matrix™](#) and it is designed to meet the specific needs of:

- Global Wealth Management Firms
- Registered Investment Advisory (RIA) Firms
- Hybrid RIA Firms
- Retail Broker-Dealers

Previously a component of CFM's flagship solution, Access Compliance™, *Reg Matrix* was originally developed in 2010. Continually enhanced and refined, *Reg Matrix* is now available for the first time as a stand-alone solution that provides news, information, analyses, and automated workflows that help firms manage change in fluid, regulatory conditions.

In addition to continual access to the most current regulatory news and information, *Reg Matrix* includes an innovative new feature for firms that take a forward-looking approach to compliance and risk management: *Impact Statements*. Developed in partnership with the team of regulatory and compliance experts at [Accordo Compliance Solutions](#), *Impact Statements* are based on daily reviews of News Items and highlight noteworthy entries that offer important operational considerations. *Impact Statements* are also linkable to firm policies and procedures that are likely to be affected by the news.

“The ability to better manage change is contingent on having the best possible information and being able to relate that information to how your firm does business,” explained Beth Murphy, president and CEO of CFM Partners. “*Reg Matrix* not only supplies the most reliable information available every day, but can also link that information directly to the firm's own policies and procedures, highlighting those that are affected by any changes in related

rules and regulations. This raises compliance and risk management to a whole new level of efficiency and effectiveness.”

### **Easy to Use and Easy to Upgrade**

*Reg Matrix* delivers clearly written, plain-English summaries of regulatory initiatives, changes, and enforcement actions straight to the desktops of compliance and risk executives. The solution makes it possible for professionals to readily identify needed modifications to policies and procedures, and helps mitigate the delays and disruption that can occur when access to vital information is not available on demand.

Because *Reg Matrix* is a cloud-based solution, its maintenance, updates, and availability are managed by CFM’s experts who work closely with every firm to ensure optimal performance and smooth rollout. *Reg Matrix* is accessible 24/7/365—the result being whenever executives need information, it is there.

In addition, *Reg Matrix* capabilities are expandable. Firms requiring additional functionality to help manage their risk and compliance initiatives can easily upgrade to Access Compliance FS™ to leverage a comprehensive approach to modern, standardized management and communication of policies, optimization of operational efficiencies, and risk monitoring.

### **Current, Clear, Connected**

*Reg Matrix* offers [features and functionality](#) not found in any other solution, including:

- *Regulatory Index* – A library of regulations from the SEC, FINRA, MSRB, FinCEN, state regulators, and others, all searchable by regulator, category, and topic.
- *Daily Regulatory Updates* – CFM monitors multiple regulatory sites and filters, then summarizes and centralizes headlines, enforcement actions, and regulatory notices daily. These daily news items are tagged to the *Regulatory Index* so executives can sort these feeds by regulation, category, or topic.
- *Automated eMail Notifications* – Notices of updates on the issues that matter most to the firm.
- *Impact Statements* – Daily news items and noteworthy entries are highlighted with *Impact Statements* that provide key considerations for forward-looking compliance.
- *Policies and Procedures Management Module* – This is an upgrade option that expands *Reg Matrix* to include the *Policies and Procedures Management* module that links topics and news items to the firm’s associated policies and procedures, as well as relevant training courses.

### **Pricing and Availability**

*Reg Matrix* is immediately available directly from CFM Partners. Pricing is based on the number of users. Additional information and a no-obligation consultation are available by calling +1-202-364-2380 or emailing [Solutions@CFMPartners.com](mailto:Solutions@CFMPartners.com).

## About CFM Partners

CFM Partners is a GRC (governance, risk, and compliance) technology and intelligence solution provider located in Washington, DC. CFM combines innovative technology with deep compliance and industry expertise to deliver integrated, knowledge-based GRC solutions that enhance governance and improve risk management. CFM understands the marketplace, the regulatory environment, and the importance of putting the right tools and information into the hands of the right people at the right time. To learn more about CFM and why its solutions are used by many of the world's largest and most respected organizations, visit [cfmpartners.com](http://cfmpartners.com).

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