

Regulatory Compliance (Capability)

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- 2. Example of Use
- 3. Executive Summary
- 4. Key Features

Documentation

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1. Role Definition



This service domain administers the scheduled and ad-hoc application of regulatory checks. This includes interpreting the full range of regulatory requirements governing the bank's operations and determining which regulations apply in specific circumstances across the enterprise. Support and guidelines are provided to activities in the bank that are subject to the regulations and scheduled and ad-hoc checks performed to confirm compliance

2. Example of Use



A new customer's details are passed for regulatory watch list checks. A subsequent transaction is reported for regulatory compliance checks

3. Executive Summary



This service domain provides a service to interpret regulatory requirements, provide guidance and define and implement a portfolio of regulatory compliance tests across all appropriate bank activities

4. Key Features

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- Schedule/target regulatory checks
- Consolidate documents/activity pertaining to regulatory tests
- Provide advice/guidance for achieving regulatory compliance
- Evaluate and report on activity for regulatory compliance,
- Notify and track responses for detected regulatory failures

Documentation

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
Properties

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Property	Value
Service Domain	
API BIAN Portal	Regulatory Compliance API (https://app.swaggerhub.com/apis/BIAN-3/RegulatoryCompliance/12.0.0)
Core Business Object	
Individual Analytics	regulatoryComplianceAssessmentAccumulators regulatoryComplianceAssessmentActivityAnalysis regulatoryComplianceAssessmentPerformanceAnalysis regulatoryComplianceAssessmentTrends&Events
Portfolio Analytics	regulatoryComplianceAssessmentPortfolioActivityAnalysis regulatoryComplianceAssessmentPortfolioMake-UpAnalysis regulatoryComplianceAssessmentPortfolioPerformanceAnalysis

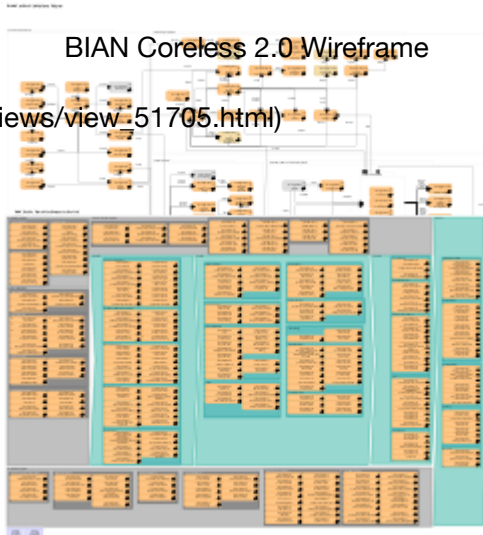
Scenarios

-  Initiate Payment Order (views/view_54825.html)
-  Create New Sales Product Bundle (views/view_55028.html)
-  Perform Regulatory KYC Analysis (views/view_55013.html)
-  Handle Request to Issue Guarantee on Request of Another Bank (views/view_54980.html)
-  Execute Customer Onboarding API version (views/view_54883.html)
-  Handle Request for Consumer Loan Verify Documentation and Offer Process (views/view_55227.html)
-  Process Closing of Syndicated Loan-I (views/view_55185.html)
-  Handle Request for Outgoing Credit Transfer (views/view_55383.html)
-  Process Closing of Corporate Loan (views/view_55458.html)
-  Handle Request to Open Savings Account (views/view_55628.html)
-  Handle Request for Outgoing FCY Credit Transfer via SWIFT (views/view_55095.html)
-  Handle Request for Investment Plan (views/view_55514.html)
-  Handle Incoming Credit Transfer (views/view_55395.html)
-  Record Direct Debit Mandate at Creditor Bank (views/view_55176.html)
-  Handle Request for Credit Facility (views/view_55481.html)
-  Conduct Mortgage Loan Processing (views/view_55218.html)
-  Handle Incoming Request for Payment at Debtor Bank (views/view_55467.html)
-  Handle Request to Establish Credit Transfer Standing Order on Corporate Current Account (views/view_55203.html)
-  Handle Request to Open Retail Current Account (views/view_55365.html)
-  Perform other Regulatory Assessments (views/view_55449.html)
-  Perform Underwriting for Corporate Loan (views/view_55254.html)
-  Handle Request for Payment at Creditor Bank for External Account (views/view_55356.html)
-  Perform Underwriting for Syndicated Loan (views/view_55248.html)
-  Perform Underwriting for Mortgage Loan (views/view_55392.html)
-  Handle Request to Sell Syndicated Loan Participation to Other Bank when Lead Bank Is not Seller or Buyer-III (views/view_55251.html)
-  Perform Customer Due Diligence Assessment (views/view_55502.html)
-  Perform Underwriting for Uncollateralised Consumer Loan (views/view_55410.html)
-  Handle Request for Bank Guarantee (views/view_55341.html)
-  Create New Sales Product Single (views/view_55221.html)
-  Process Closing of Mortgage Loan (views/view_55134.html)
-  Record Amendment of Direct Debit Mandate at Creditor Bank (views/view_54720.html)
-  EXT Handle Request for Account Statement and Outgoing Credit Transfer (views/view_54747.html)
-  Perform Underwriting for Renewal of Uncollateralised Consumer Loan (views/view_54892.html)
-  Perform Underwriting for Merchandising Loan (views/view_54854.html)
-  Process Closing of Syndicated Loan-III (views/view_54831.html)

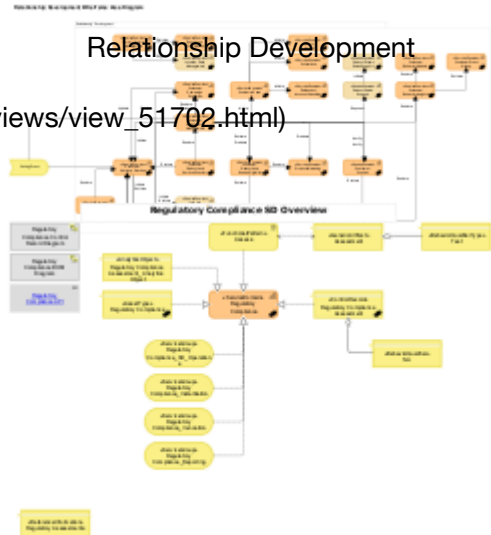
-  Process Closing of Syndicated Loan-II (views/view_54738.html)
-  EXT Record Core SEPA Direct Debit Mandate at Creditor Bank (views/view_54744.html)
-  Handle Request for Outgoing Credit Transfer Related to Request to Pay at Debtor Bank (views/view_54799.html)
-  EXT Handle Request to Open Corporate Current Account (views/view_54675.html)
-  Verify Retail Customer (views/view_54610.html)
-  Process Salary Payments for External Accounts (views/view_54595.html)
-  Process Incoming Credit Transfer at Creditor Bank towards Outgoing Request for Payment (views/view_54705.html)
-  Handle Request to Open Corporate Current Account (views/view_54919.html)
-  Process Incoming Credit Transfer for Letter of Credit (views/view_55656.html)
-  Handle Request to Extend Validity of Letter of Credit (views/view_55634.html)
-  Handle Request to Issue Letter of Credit (views/view_55618.html)
-  Handle Request to Establish Credit Transfer Standing Order on Retail Current Account (views/view_54648.html)
-  EXT Handle Request to Establish Credit Transfer Standing Order on Corporate Current Account (views/view_54951.html)
-  Handle Incoming FCY Credit Transfer for LCY Account (views/view_54977.html)

Service Role	Interpret regulatory requirements and define a portfolio of regulatory compliance tests across all appropriate activities. Relate the regulatory checks to activities as necessary
BIAN Life Cycle	
Registration Status	Registered
Stereotypes	
stereotype	ServiceDomain

Appears on	
(views/view_50878.html)	(views/view_51270.html)



BIAN Coreless 2.0 Wireframe
(views/view_51705.html)



Relationship Development
(views/view_51702.html)

BIAN Service Landscape V12.0 Value Ch...
(views/view_51891.html)

Regulatory Compliance SD Overview



BIAN Service Landscape V12.0 Matrix Vi...

Relations



aggregated
by



- Regulations and Compliance (object_25.html?object=131097)
- Wave 2 (object_25.html?object=153742)
- Wave 1 (object_25.html?object=153747)
- Compliance (object_25.html?object=171917)

is equal to


















Regulatory Compliance (object_38.html?object=46421)

is part of




Regulations and Compliance (object_25.html?object=131097)















realized by

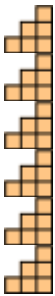
-  Regulatory Compliance Assessment_Analytics Object (object_25.html?object=110976)
-  Regulatory Compliance_Instantiation (object_18.html?object=152774)
-  Regulatory Compliance_Invocation (object_18.html?object=152778)
-  Regulatory Compliance_Reporting (object_18.html?object=152790)
-  Regulatory Compliance_SD_Operations (object_18.html?object=152798)
-  Create a new BQ Regulatory Requirement and its SOs for Regulatory Compliance SD (object_31.html?object=225206)
-  Regulatory Compliance_SD_Service Group (object_18.html?object=238675)
-  Regulatory Compliance (object_23.html?object=29167)
-  Up CR Update submitted details or content for an on-going compliance assessment (object_14.html?object=35665)
-  Ev CR Start a compliance evaluation assessment (object_14.html?object=36340)
-  Ec CR Accept or reject a compliance determination (object_15.html?object=39728)
-  Rq CR Request a review or adjudication for an assessment (object_12.html?object=42220)
-  Regulatory Compliance Assessment (object_24.html?object=42785)
-  Re CR Retrieve details and content from an active compliance assessment (object_17.html?object=47525)
-  Assess (object_28.html?object=58027)

serves

-  Policy Management (object_6.html?object=81319)

triggered by

-  Party Lifecycle Management (object_20.html?object=29780)
 -  Mortgage Loan (object_21.html?object=31825)
 -  Syndicated Loan (object_21.html?object=31921)
 -  Servicing Order (object_21.html?object=32295)
 -  Direct Debit (object_21.html?object=32677)
 -  Payment Order (object_21.html?object=35550)
 -  Customer Offer (object_22.html?object=39968)
 -  Corporate Loan (object_20.html?object=42505)
 -  Credit Management (object_22.html?object=43774)
 -  Product Design (object_22.html?object=44093)
 -  Underwriting (object_22.html?object=44666)
 -  Regulatory Compliance (object_22.html?object=46420)
 -  Loan Syndication (object_23.html?object=47935)
 -  Investment Portfolio Planning (object_23.html?object=48534)
-

triggers		Correspondence (object_20.html?object=32927)
		Customer Behavior Insights (object_21.html?object=34917)
		Legal Entity Directory (object_21.html?object=37530)
		Information Provider Operation (object_20.html?object=42204)
		Customer Credit Rating (object_22.html?object=43153)
		Regulatory Compliance (object_22.html?object=46420)
