

REGULATORY SUPPORT

GALEFORCE CRM FOR FINANCIAL SERVICES

The recent, dramatic increase in rules, regulations and laws among public companies and financial services organizations has driven the need for compliance-related functionality in the systems and applications that support corporate operations. GaleForce CRM for Financial Services supports regulatory compliance as follows:

REGULATORY ISSUE	GALEFORCE CRM SUPPORT
SEC Rule 17a-3 and 4 which governs information retention policies of brokers and exchange companies.	<ul style="list-style-type: none"> ▶ GaleForce CRM tracks and retains all communications with clients such as meetings, emails and documents in the CRM database and Microsoft SharePoint systems.
Anti-Money Laundering regulation related to the USA PATRIOT Act which broadly expands law enforcement's surveillance and investigative powers	<ul style="list-style-type: none"> ▶ GaleForce CRM allows companies to establish a client profile form that captures all data required by the USA Patriot Act. The profiles can be reported on and analyzed to ascertain money laundering risk levels (AML).
The Gramm-Leach Bliley Act which includes provisions to protect consumers' personal financial information held by financial institutions.	<ul style="list-style-type: none"> ▶ GaleForce CRM 3.0 delivers the ability to define field level security for any record field, and restrict permissions by role to each field. Permission values include "None", "Read only", or "Read/Write." ▶ Field level security cannot increase the user's permissions over what their established role has already granted them for a particular record, but can impose additional restrictions on sensitive field data.
SOX compliance specifies the COBIT Framework as an IT governance model that provides robust security and audit trails, as well as systems capable of storing data in a trustworthy manner through its life cycle. It includes 300+ control objectives addressing topics ranging from the way IT departments are managed to the configuration and monitoring of software applications.	<ul style="list-style-type: none"> ▶ GaleForce CRM Auditing functionality records data changes at the record and field level, and includes information on who made what changes and when the changes were made. Auditing can be configured to specify which data actions should be audited for each type of record (i.e. Create, Update, Delete). ▶ The "View Audit Log" permission ensures that only authorized users can see and search audit records.
The SEC Chinese Wall (ISE Rule 810) that requires an Information Barrier between a market maker and others when dealing with confidential company data.	<ul style="list-style-type: none"> ▶ The GaleForce CRM security model (making use of Field Level Security and Rules Based Forms & Views) prevents unauthorized access to sensitive customer data, even to the data field level.

For more information, contact us at 1-877-682-5855 ext. 110, or info@galeforcesolutions.com.



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