

Technology Strategies for Compliance

COMPLIANCE AS AN ENTERPRISE ASSET

presented by: Rob Carpenter - CTO, Dorado Corporation

MBA's Regulatory Compliance Conference

September 6-8, 2006



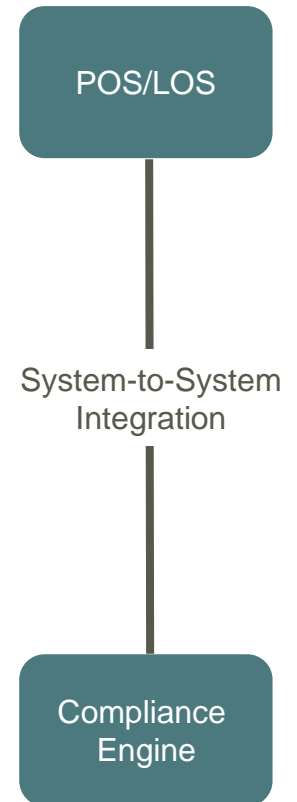
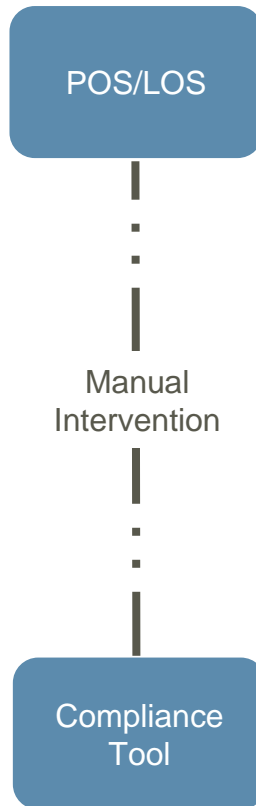
Compliance Core Objectives

- Consistency of execution across the enterprise
 - All channels
 - All phases of the workflow

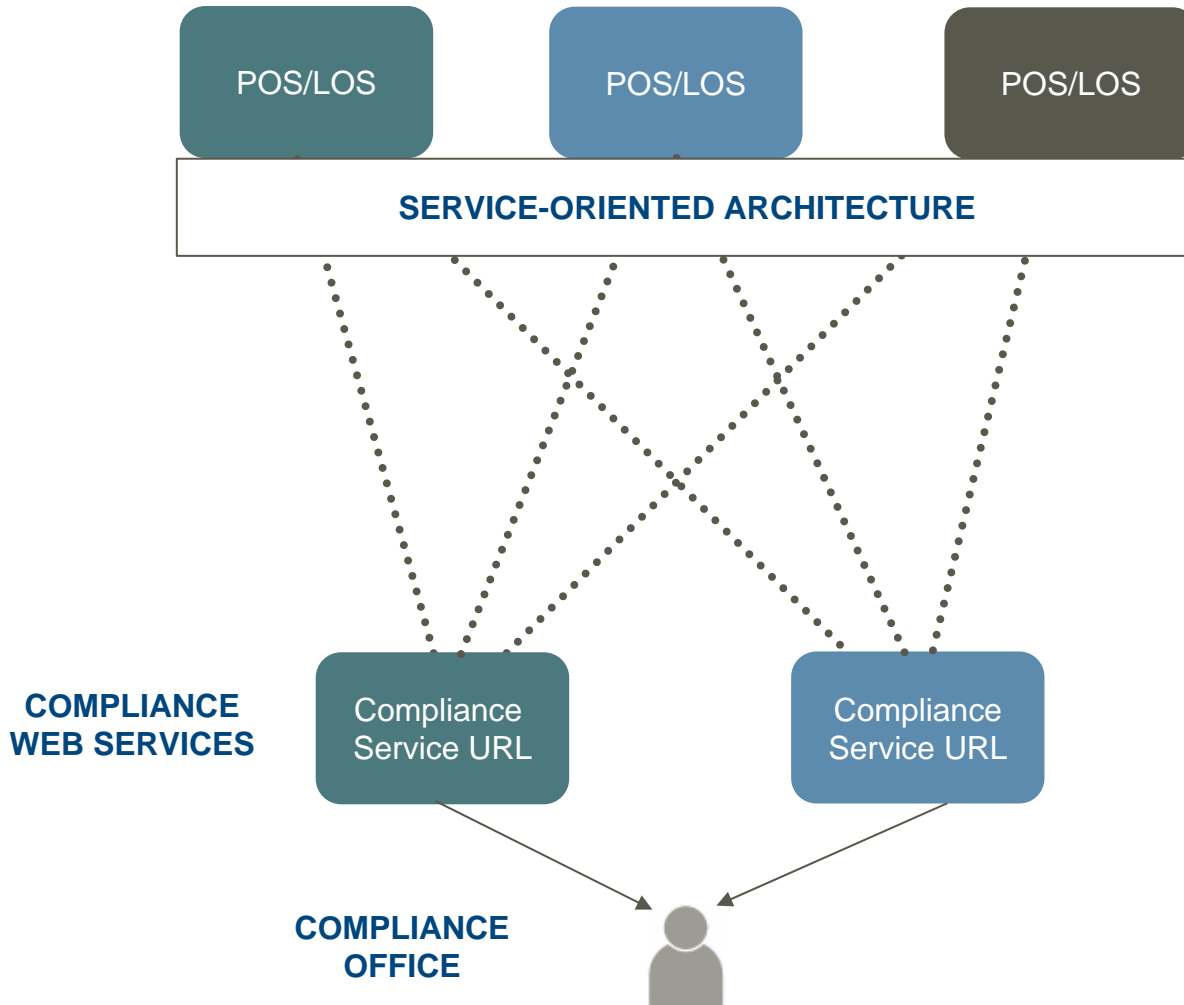
- Speed to market
 - Ability to rapidly deploy compliance assets to the entire enterprise

- Flexibility
 - Allow for each channel or operational entity to consume and leverage compliance appropriately for their operational strategy

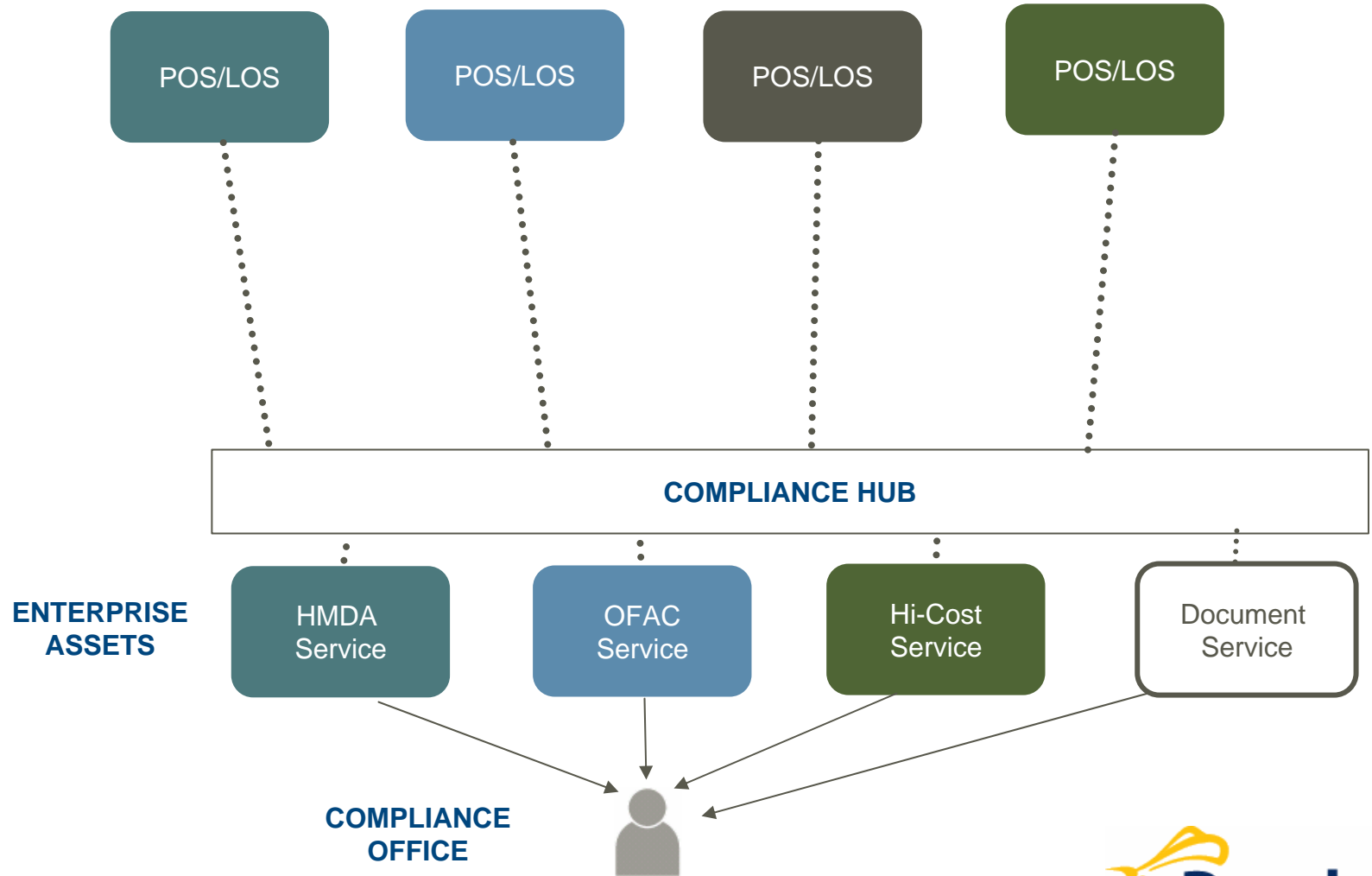
Typical Compliance Infrastructure Today



New Model



Enterprise Asset Model



Summary

- Consistency
 - One stop shop for compliance execution
 - Single point of truth within the enterprise
 - Single point of control

- Speed to market
 - Change one location and all consumers of the service get it simultaneously

- Flexibility
 - Approach does not dictate how the service is used (e.g., within the workflow)
 - Does not mandate specific technologies or interfere with change management

- Leverages Investments