



GTRegs – Grant Thornton Regulatory Monitoring Tool

Expanding regulatory pressure, internationalisation, technological developments and increased protection for investors and customers are shaping today's financial market. Focused regulatory change management (RCM) helps to meet these challenges, enabling decision-makers at financial institutions to systematically identify, analyse, evaluate and implement regulatory developments. The aim is to ensure ongoing compliance with regulatory requirements and thus minimise compliance risks.

Core elements of RCM

RCM comprises five key elements:

- **Horizon scanning:** Systematic monitoring of regulatory sources (hard law/soft law, national/international developments, legislation, case law and practice, trends and best practice).
- **Impact assessment:** Evaluation of the relevance and impact of new regulations on the institution.

- **Action planning and implementation:** Development and implementation of adjustments to processes, guidelines and systems.
- **Communication and training:** Internal information and training of relevant employees.
- **Monitoring and reporting:** Monitoring implementation and reporting to management and, if necessary, to FINMA.

What does this mean for you?

Increasing national and international regulation and higher expectations from supervisory authorities underscore the importance of RCM. Failure to comply with RCM can result in regulatory consequences, which makes it clear that RCM is not just a «nice to have», but a regulatory obligation for all financial institutions. The obligation to have an appropriate RCM in place applies to all regulated financial service providers and is based on various legal foundations such as Art. 4 FINMASA, Art. 3 BA or Art. 9 FinIA. However, the scope of RCM depends heavily on the size of the institution in question, the risks involved and the degree of international orientation and complexity of the business model.

GTRegs – Grant Thornton's solution for efficient regulatory monitoring

Grant Thornton Switzerland/Liechtenstein has collaborated with etops to develop a regulatory monitoring tool that helps board members, executives, risk and compliance officers and other relevant employees to implement regulatory change management efficiently in their companies. GTRegs offers AI-supported content that has been professionally validated by Grant Thornton experts. The new tool monitors the latest regulatory developments in the Swiss financial market in real time and offers functions such as timely updates, customised heat maps, a regulatory framework, news, individual assessments and a reporting function with direct export.

- **Regulatory assessment:** The assessment questionnaire forms the basis for an individual, concrete classification of regulatory changes in relation to an institution's specific business model. Complete our assessment questions, and individualised heat maps will be generated for you.
- **Heat maps:** The tool offers you various heat maps that show you which current regulations are relevant to you as a company and how urgent they are. Any gaps are highlighted, allowing you to quickly identify where your institution may need to take regulatory action.
- **Regulatory reporting:** Direct export of your current heat map, including a summary of the relevant regulations, into a Word document. Ideal basis for integration into internal compliance reports, protocols, memoranda, etc.
- **Regulatory Hub and Regulatory Framework:** These sections provide you with an overview of the existing legal basis as well as the latest changes and updates, with topic-related navigation.
- **Regulatory News:** After the publication of a regulatory development, you will receive automatic updates on the relevant changes in the framework. The news section displays the specialist articles published by Grant Thornton on current regulatory developments.

- **Find your Advisor:** This function gives you quick and targeted access to the right experts at Grant Thornton if you need support with regulatory issues.



Your advantages at a glance

- Tailored classification of current regulatory developments, aligned with your institution's business model.
- Intelligent automation, genuine expertise: AI-supported content, but always professionally validated by Grant Thornton.
- Timely updates on the latest regulatory developments with an appropriate assessment of their relevance and the need for action for your institution.
- Overview of all relevant regulations and innovations for financial institutions based in Switzerland
- Expert tips on implementing regulatory requirements
- Reporting function for sharing insights

GTRegs is currently focused on Swiss financial market regulation with the target groups of banks, securities firms, asset managers, investment companies and other financial intermediaries (excluding insurance companies). Register easily and conveniently and start enjoying the benefits of GTRegs right away. We offer the tool at a fair price on a modular basis – depending on whether you want to take out a subscription for three months or a whole year.

You can register here.
We look forward to hearing from you!

<https://regtech.analytics.etops.com/register>

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