

Canadian Compliance Group (CCG)

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Overview

Resolver and the CCG have partnered on a powerful turn-key solution for compliance risk management for the Canadian banking and financial services sector. Our integrated platform supports application areas including Risk Assessment, Internal Control, Internal Audit, Compliance Management, Enterprise Risk Management, and Incident Management.

Alert Process

- CCG's alert statements briefly describe upcoming or effective regulatory changes covered by our RCM Framework.
 - This complimentary alert service boosts our customers' awareness of actual and potential changes to their content libraries.
 - CCG sends alerts as soon as possible after public notice of an actual or potential regulatory requirement change. Resolver customers will receive their CCG alerts via email.
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Regulatory Updates

Our regulatory updates occur when we update an existing or add a new requirement to customers' regulatory inventory.

More than 30 days' notice

If a regulator provides more than 30 days' advance notice of the legislative change's final details, Resolver shall update the RCM Framework in a timely manner to reflect the new requirements, and shall make commercially reasonable efforts to provide the updates no later than 10 days after the change's announced effective date.

The regulatory update reflects the official change and the effective date from the relevant regulator.

Less than 30 days' notice

If a regulator gives less than 30 days advance notice of a change, Resolver shall make commercially reasonable efforts to update the RCM Framework within 40 days of the relevant regulator's final release of the change's details.

The update is based on the official version of the change and the date the relevant regulator publishes it. We shall make commercially reasonable efforts to post notices to the CCG website on the day of the update.

CCG Content Subscription

- Your organization can subscribe to this content individually or in recommended packages.
 - Our frameworks' objective is to provide Federally Regulated Financial Institutions (FRFIs) with the regulatory requirements they are obligated to adhere to, so we can assist FRFIs with their regulatory compliance risk management – as set out in [OSFI Guideline E-13: Regulatory Compliance Management \(RCM\)](#).
 - *CCG Content enhancements* most commonly refer to the:
 - Enhancement of an existing RCM framework to broaden its scope or topics; and
 - Production of new RCM frameworks.
 - Content enhancements are generally driven by customer requests and/or regulatory changes from the industry. Such enhancements are produced and distributed per the CCG's discretion.
 - Producing content enhancements may be subject to additional fees. Pricing will depend on the request's nature, applicability, and scope.
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Canadian Compliance Group frameworks

- Bank Framework
- Federal Bank Branch Framework
- Anti-Money Laundering (AML) Framework
- Trust & Loan Companies Act
- Provincial Trust & Loan Framework
- Credit Union Framework
- BC Credit Union Framework
- Ontario Credit Union Framework
- Federal Credit Union Framework
- Federally Incorporated Insurance Company Framework
- Federal Insurance Branch Framework
- Federal Privacy Framework
- Provincial Privacy (Quebec, BC, Alberta) Framework
- Provincial Insurance Legislation Market Conduct Framework
- Lobbying Framework
- Mutual Fund Dealers Association (MFDA) Framework
- Exempt Market Dealer Framework
- Investment Industry Regulatory Organization of Canada (IIROC) Rules Framework
- Investment Fund Manager Framework
- Portfolio Manager Framework
- Universal Market Integrity Rules Framework

- Foreign Account Tax Compliance Act (FATCA) Framework
- Common Reporting Standards (CRS) Framework
- Accessibility for Ontarians with Disabilities (AODA) Framework
- Canada Labour Code Framework
- Pay Equity Act Framework
- Canadian Anti-Spam Legislation (CASL) Framework
- National Do Not Call Framework
- Provincial Employment Standards Framework
- Cyber Security Self-Assessment Framework
- Competition Act Framework