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FINANCIAL SERVICES · WORKFLOW

Compliance monitoring and reporting

Automates daily compliance monitoring across client portfolios and regulatory requirements, generating alerts for violations and producing standardized compliance reports for management review.

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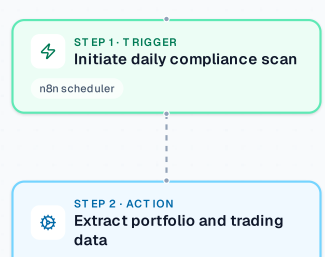
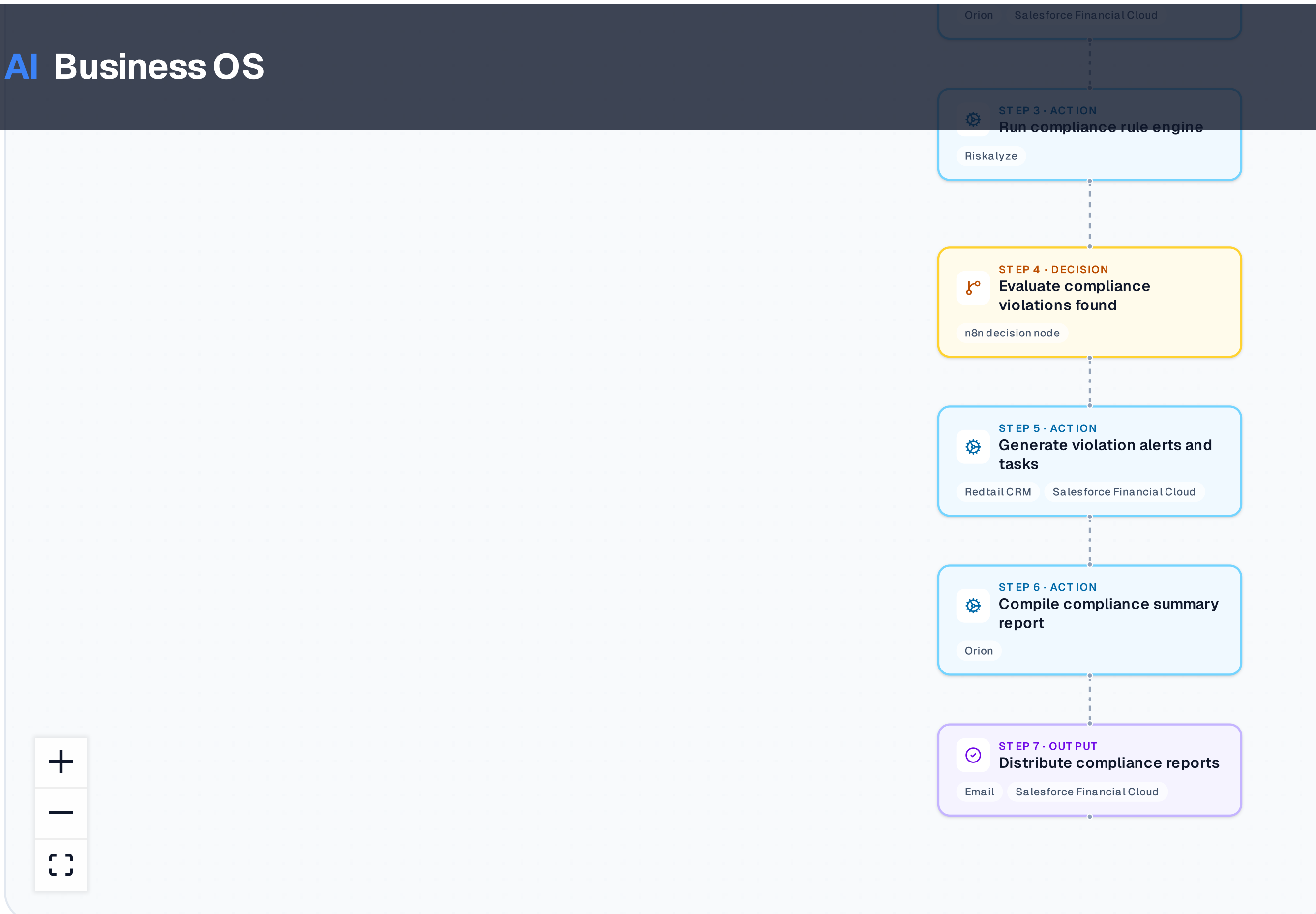
WORKFLOW TRIGGER

Daily compliance monitoring schedule triggers at 6:00 AM EST

Visual Flow

Each node represents an automated step. Connections show how data and decisions move through the workflow.





Step-by-Step Breakdown

Detailed explanation of each automated stage in the workflow.

1

TRIGGER

Initiate daily compliance scan

Scheduled trigger activates daily compliance monitoring process across all client accounts and portfolios. System begins comprehensive review of trading activity and portfolio positions.

n8n scheduler

2

ACTION

Extract portfolio and trading data

Retrieves current portfolio positions, recent transactions, and client profile data from portfolio management system. Collects all relevant account activity from previous 24 hours.

Orion | Salesforce Financial Cloud

3

ACTION

Run compliance rule engine

Executes automated checks against regulatory requirements including concentration limits, suitability rules, and trading restrictions. Analyzes portfolio drift and investment policy compliance.

Riskalyze

4

DECISION

Evaluate compliance violations found

Determines if any compliance violations or exceptions were detected during the automated review process. Routes workflow based on severity and type of issues identified.

5

ACTION

Generate violation alerts and tasks

Creates immediate alerts for compliance team and assigns remediation tasks to appropriate advisors. Documents violations in CRM with required follow-up actions and deadlines.

Redtail CRM | Salesforce Financial Cloud

6

ACTION

Compile compliance summary report

Aggregates all compliance findings into standardized daily report format. Includes violation summaries, portfolio compliance scores, and trending analysis.

Orion

7

OUTPUT

Distribute compliance reports

Sends completed compliance reports to management team and compliance officers via email. Archives reports in centralized compliance repository for audit trail.

Email | Salesforce Financial Cloud

Outputs

- Daily compliance violation alerts
- Automated remediation task assignments
- Standardized compliance summary reports

Key Metrics

- Number of compliance violations detected
- Average time to violation resolution
- Portfolio compliance score percentage

Tools & Integrations

- n8n scheduler
- Orion
- Salesforce Financial Cloud
- Riskalyze
- n8n decision node
- Redtail CRM
- Email

AI Business OS