

小威AI+ | 金融合规：基于AIGC的技术应用，为金融合规提供智能化解决方案

■ 对话式自然语言交互

支持自然语言提问，充分理解用户问题意图，即时生成有针对性的答案

■ 金融领域高质量语料来源

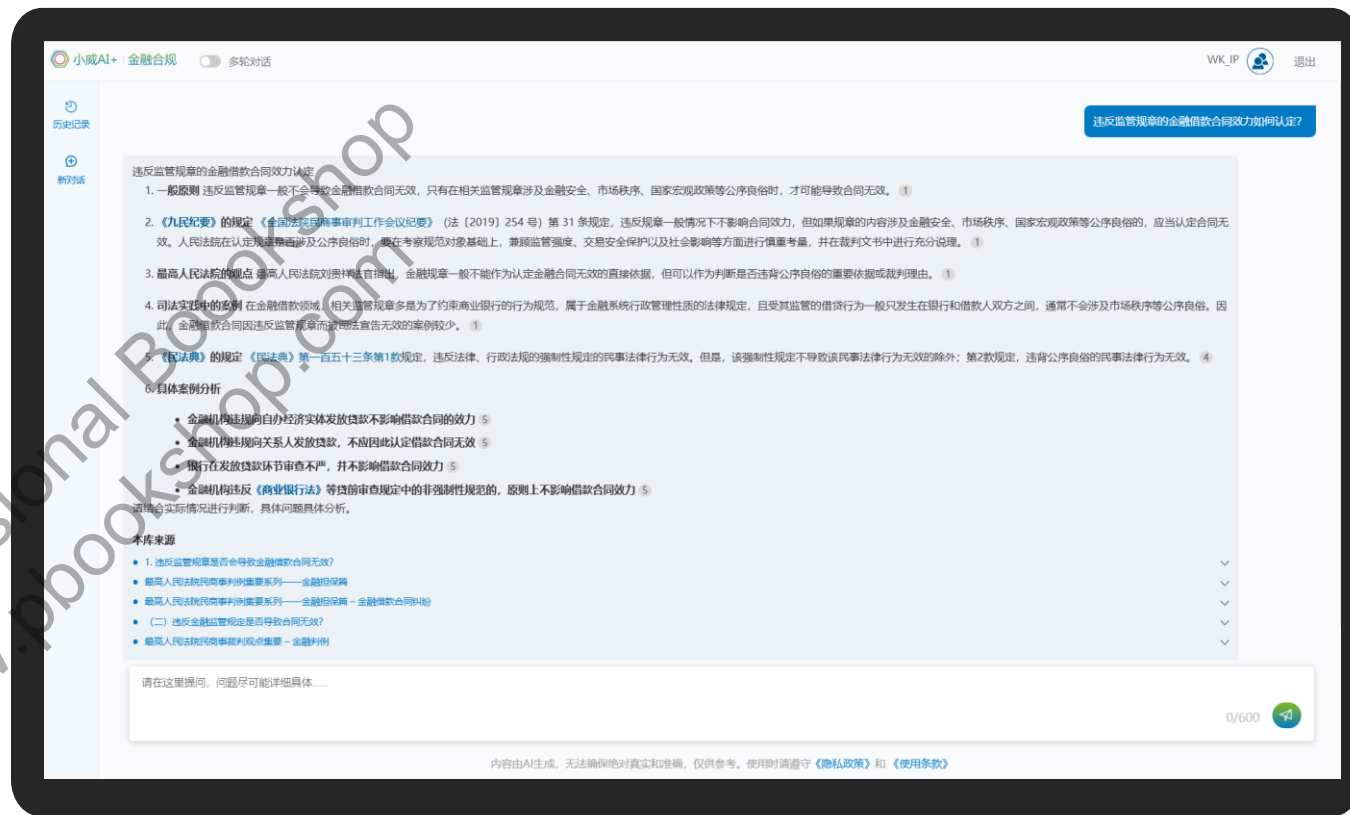
依托金融合规实务模块高质量数据，提供可信赖的答案

■ 内容智筛与深度推理分析

应用智能技术对内容的可用性进行筛选，基于深度推理分析，优化答案质量

■ 提供答案+专业数据溯源

在自动生成答案同时提供可溯源的内容来源，支持一键跳转，进行真实数据溯源



威科先行 金融合规实务模块



Professional Bookshop
www.pbookshop.com

金融合规实务模块深度聚焦银行、保险、证券、基金、金融科技、信托、期货、外汇、融资租赁、反洗钱等领域，分设监管速递、行政处罚、行政监管、政策解读、智能图表、智能决策、清单助手、文书模板等栏目，将先进的生成式人工智能技术与高质量的数据库内容进行结合，以大资管视野助力金融企业高效破解合规压力，精准准备合规方案。

产品亮点——聚焦金融行业法律合规实务的智能型产品

- 聚焦 9 大金融领域，提供一站式、全视角信息内容服务

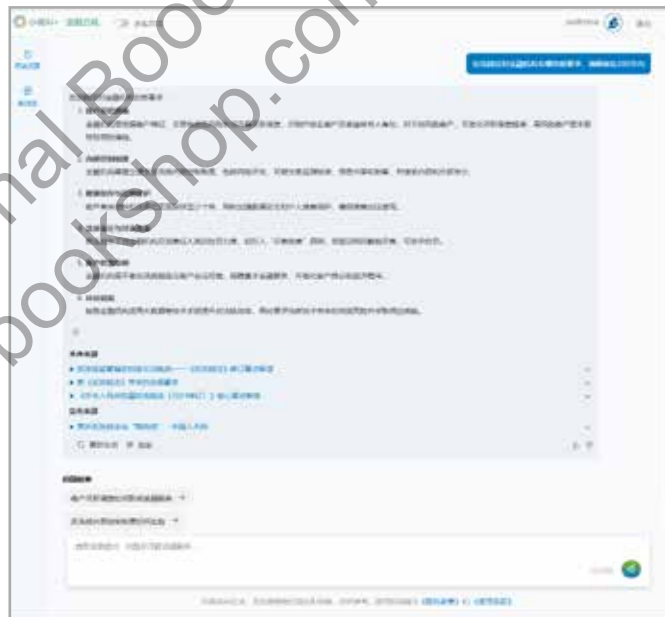


- 搭载生成式 AI 技术，合规智答，秒级溯源，助力金融合规实务问题高效解决

该工具利用生成式 AI 技术，基于威科先行法律信息库在金融合规实务领域海量专业实操内容积淀，支持自然语言提问，并提供准确的答案和可追溯的文件链接。



- 对话式自然语言交互
- 金融领域高质量语料来源
- 内容智筛与深度推理分析
- 提供答案 + 专业数据溯源



- 关注合规风险，及时收录监管数据，搭载可视化分析技术，助力把握监管口径



优势资源——专家智库与技术赋能，打造深度内容生态

【新规速递·权威解读】

监管新规政策发布后及时推出权威解读，同步上线全景专题分析，帮助企业第一时间掌握合规要点，抢占应对先机。



【热点深挖·趋势预判】

聚焦行业关注焦点与新兴领域，通过多维调研，引入专家智慧，输出前瞻性解决方案，助力企业突破合规盲区。

美国金融制裁下，中国金融机构的防范与应对策略

公募基金销售合规要点精析

资本市场典型违规行政处罚观察报告

新时代强监管背景之下的保险机构合规实务问答

银行保险业人工智能与数字经济法律研究报告

新公司法对银行等金融机构运营的 32 个关键影响
及应对方案

【实务指南·智胜之道】

邀请行业资深专家撰写体系化实务指南，话题聚焦行业热点、难点，提供权威、专业的法律观点和实务建议，为企业提供从风险预警到落地执行的全链路指引。

典型案例视角下金融机构重点业务风险防范指南

国资基金合规管理操作指南

金融机构争议解决实务问答

监管视角下金融机构合规管理实务问答

私募基金监管 2.0 时代下全生命周期业务指引

私募基金争议解决蓝皮书

【监管动态·周周精粹】

每日跟踪监管动态，汇总一周新规、监管动态、重点处罚、精选解读等数据，经专业团队提炼形成金融合规精华周报，15 分钟纵览政策风向，节省 80% 信息筛选时间。



【云端培训·合规必修】

整合威科专家智库资源，对线下实务研讨、线上讲座等全渠道视频内容进行结构化处理，打造覆盖金融重点领域的云端合规课程库。助力企业构建标准化培训体系，同步赋能员工利用碎片化时间完成学习，实现合规意识渗透与业务能力进阶的双效提升。



- 《反洗钱法（2024 修订）》及其对义务机构反洗钱工作的影响 >> 详情 [课程回看](#)
- 新形势下金融行业争议热点实务论坛 >> 详情 [课程回看](#)
- 新形势下金融行业前沿合规实务论坛 >> 详情 [课程回看](#)
- 广东高院金融二十条要点解读 >> 详情 [课程回看](#)
- 龙年祝龙腾 --2024 年投融资前沿展望和实务分享 >> 详情 [课程回看](#)



【智能工具·速读引擎】

以便捷、易用的图表、流程图形式智能呈现核心信息，化繁为简，一键获得目标信息。

智能图表

通过挖掘行政处罚案例，以智能检索和图表化方式提取合规风险点，包括但不限于：



商业银行理财合规风险指引

本智能图表对银保监会近年来对银行理财业务的行政处罚案例进行了细化、分析与整理，通过提取当下银行理财面临的合规风险点，分门别类，以违规行为为对应处罚案例，以期为银行理财合规实务工作提供高效助力。关键词：商业银行 理财 处 ...

[更多介绍](#)

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反洗钱合规风险识别与防范指引

本智能图表是在反洗钱严监管背景下，顺应时势，汇总梳理反洗钱相关行政处罚，根据反洗钱违规行为，对应不同金融机构，分门别类整理反洗钱行政处罚案例，以期为合规人员提供有益参考。...

[更多介绍](#)

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智能决策

以决策树的形式对金融领域内不同业务可能遇到的违规风险进行提示，并给出处罚案例与相关专家解读，为合规人员自查业务风险点提供助力，包括但不限于：

私募基金管理人登记和产品备案系统操作流程指引

本工具对私募基金登记备案系统操作予以流程提示与指引。... [更多 >>](#)

[查看](#)

不良资产配置业务交易结构及全流程操作指引

1. 本工具旨在为不良债权资产配置业务提供全流程实务指引，确保交易的完整性。2. 通过梳理拆解业务交易结构，识别并提示操作业务中存在的风险，确保交易安全性。... [更多 >>](#)

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01

02

03

04



保险公司合规风险提示与指引

本工具旨在为保险合规工作进行清晰快捷的风险提示。... [更多 >>](#)

[查看](#)



反洗钱合规风险提示及指引

本工具旨在对反洗钱工作中涉及各类行为予以风险提示及合规指引。... [更多 >>](#)

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清单助手

遵循清单式的工作流程，对合规工作中所需要的政策要点、材料准备、流程进行了清单式整理，以此助力金融合规工作更简单、更高效、更有序！示例如：

- 【清单助手】2024 公司债券法律尽职调查清单
- 【清单助手】公募基金管理公司设立申请材料目录清单
- 【清单助手】不良资产收购后债权档案及文件交接清单
- 【清单助手】财务尽调的法律使用清单
- 【清单助手】保险资金投资集合信托计划核查要点清单

Wolters Kluwer China Law & Reference | Financial Compliance

Wolters Kluwer China Law & Reference launched Finance Compliance Vertical Database to target legal services related to banking, insurance, securities, fund, financial technology, trust, futures, foreign exchange, financial leasing and anti-money laundering. With a series of columns like regulatory express, administrative punishment, administrative regulation, expert interpretations, smart diagrams, smart decision-making, list assistant and template documents, the database offers a broad perspective for financial companies to make compliance plans and meet compliance requirements.



Customers Value



Provide panoramic information:
Cover legal services related to banking, insurance, securities, fund, financial technology, trust, futures, foreign exchange, financial leasing and anti-money laundering and provide one-stop panoramic information services.



Real-time regulatory development:
We update regulatory development in the financial industry on a daily basis and send daily updates and weekly newsletters to help customers observe regulatory development and meet compliance requirements.

Bilingual support to enhance work efficiency:

We provide bilingual translations for important news, laws and regulations, to reduce time and increase efficiency for regulatory compliance.



Visualized function makes regulatory information more straightforward:

We collect all letters of administrative punishment, and conduct visualized analysis from multiple dimensions to display regulatory information in vivid diagrams



You can get access to such information through our mobile app:

Wolters Kluwer app's financial vertical compliance database offers massive data, and allows legal professionals serving the financial industry to search information they need and finish compliance work in an efficient manner.



Expert wisdom makes compliance a easier job to do:
We invite industry experts to discuss hot financial issues, provide professional solutions to resolve your risks.

Core information

Expert interpretations

We collect articles, special columns and practice guides wrote by senior lawyers and corporate legal counsels to discuss hot and complicated issues, convey their professional legal opinions and suggestions and help you address practical problems and draft reasonable compliance plans.



Case comment & analysis

We collect remarks and analytical articles written by lawyers about significant cases and typical cases, to understand the development trend of judicial practices and provide valuable reference for customers to address their practical problems.



Template documents

Collect contracts non-contract documents released by lawyers, legal counsels and regulators to facilitate efficient completion of compliance work.



Latest legal news

We keep track of the latest market development, and update important financial laws, regulation, typical cases and regulatory development.



Expert Q&As

Collect business Q&As released by financial regulators and experts' answers to common practical problems, to help users get targeted answers for their problems.



Industry regulation

Administrative punishment: We collect letters of administrative punishment issued by financial regulators, and get them updated every day to ensure data reliability.

Visualized administrative punishment: We use visualized diagrams to analyze administrative punishments from the perspective of a dozen indicators like subject of punishment, punishing authority, reason of punishment and penalty amount to help customers understand punishment standards and avoid compliance risks.

Administrative regulation: We collect administrative regulatory documents released by financial regulators to help you understand regulatory standards and avoid regulatory risks.



Smart diagrams

We analyzes cases of administrative punishment and identify compliance risks through smart searches and visualized diagrams, including but not limited to:

- Risk warning on capital market compliance practices
- Anti-money laundering compliance risk identification and prevention guidelines
- Commercial bank wealth management compliance risk guidelines

Smart decision-making

Remind customers of potential breaches in financial business and present cases of punishment and expert explanations to provide reference for compliance staff to examine their business risks.

