

# SEAR in Action:

## What Works, What Doesn't, What's Next

Virtual Panel With:  



### 10 Key Takeaways for Firms

#### 1 SEAR is a Governance Shift, Not Just a Compliance Project

It impacts governance, culture, decision-making and operations across the entire organisation.

*It takes all of us.*

#### 2 Manual Processes Can't Sustain SEAR Requirements

Spreadsheets don't scale. Automation is essential for accuracy, efficiency, real-time updates, audit readiness and regulatory evidence.

#### 3 Change is Constant - Build for Adaptability

Organisations, regulations and expectations keep evolving. Your framework and technology must adapt with you.

*It's never "finished".*

#### 4 Data Quality & Governance are Critical

Good decisions start with good data. Maintain accurate, up-to-date responsibility mappings and historical records.

*A system is only as good as the data you put into it.*

#### 5 Reasonable Steps Remain a Key Challenge

Firms are still navigating what "reasonable" looks like, especially in matrix structures and complex global operating models.

*Evidence is everything.*

#### 6 Learning from SMCR Has Accelerated SEAR Maturity

Existing frameworks, guidance and experience have been invaluable, but SEAR brings its own unique interpretations and challenges.

#### 7 Communication & Change Management are Key

Technology alone isn't enough. Invest in education, clear messaging, engagement and leadership sponsorship to embed accountability in your culture.

#### 8 Regulatory Expectations Continue to Evolve

Stay informed, monitor guidance and enforcement trends, and benchmark with peers.

*Expect change, plan for it.*

#### 9 SEAR Technology Powers More Than Compliance

Firms are using platforms to manage SMCR, Fitness & Probity, Directorship Registers, handovers, governance records and multi-jurisdiction requirements.

*One platform. Many uses.*

#### 10 AI & Advanced Insights are the Next Frontier

Firms are exploring how AI and better data insights can drive predictive governance, smarter reporting and automated evidence gathering.

*The future is intelligent governance.*

### Meet our speakers



**Amanda Breen**

Executive Registrations  
Governance Lead at U.S.  
Bank



**Kay Woolmer**

HR & Compliance SMCR  
Lead at BGC Partners



**Karly Friend Pereira**

Senior Manager and Certification  
(SMCR) Team at BGC Partners



**Audrey Gilchrist**

Senior Account Executive  
at Ruleguard



Ruleguard has been in our world since 2019. It's grown, developed, morphed into an all singing, all dancing system for us.

**Kay Woolmer (BGC)**



We've seen great benefits from engaging other stakeholders across the bank in the Ruleguard accountability tool - from HR and Legal to Compliance. The more teams use the system and contribute the right data, the greater the value becomes. Firms should look at using the platform more broadly, not just for producing information, but as a central tool for governance, workflows and accountability.

**Amanda Breen (US Bank)**



Ruleguard's Accountability Regime solution is purpose-built for Ireland's SEAR framework. Centralise MRMs, SORs, F&P assessments and conduct breach recording in a single, auditable platform and assure your Board and the Central Bank of Ireland with confidence.

Book a discovery call →

See how Ruleguard's intuitive platform simplifies the complexity of compliance, enabling you to assure your Board and Stakeholders in an effortless way.



0800 408 3845



marketing@ruleguard.com



www.ruleguard.com

