

Client Success Overview

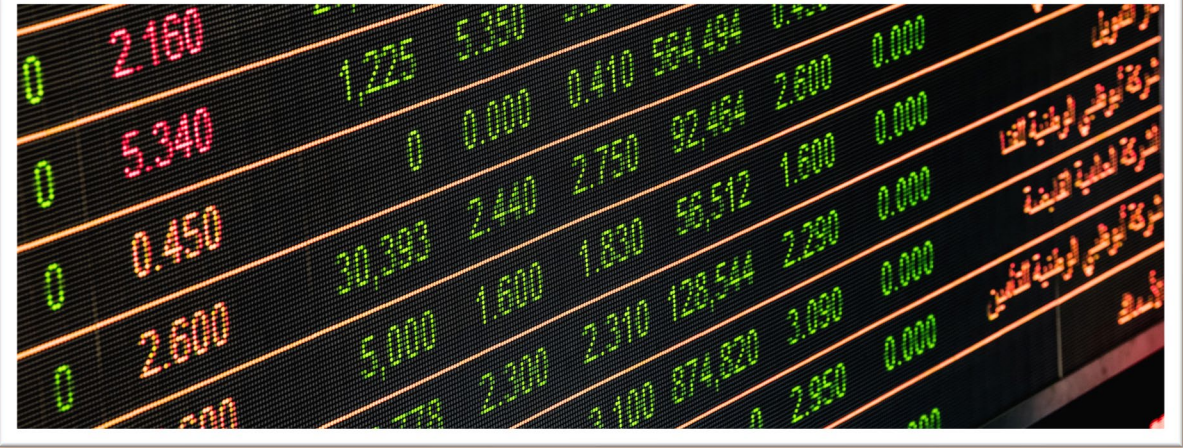
Investment Services

INTERNAL OBJECTIVES

- Automate and streamline regulatory compliance related to third-party risk management
- Standardize internal practices for assessing the business viability and ESG rankings of commercial relationships
- Improve governance and leadership decision making by implementing continuous monitoring to produce accurate, timely, and relevant risk information on the current state of commercial third-party relationships
- Support strategic technology and information objectives by leveraging APIs to integrate risk intelligence information via internal systems
- Establish processes and methods for collecting additional third-party risk intelligence including Cyber-Related Scores and PEP information

OUTCOMES

- Implemented AR Surveillance as their platform for collecting, analyzing, and delivering unbiased third-party risk intelligence information to internal teams.
- Improved internal knowledge by directing alerts of material events and changes to third-party relationship owners and designated members of management
- Streamlined regulatory compliance reporting by leveraging system's internal reporting engine and data archive
- Enhanced Internal Decision Making by leveraging system API to bring performance scores from AR Surveillance into internal GRC system to build more comprehensive and timely third-party risk profiles



Client Overview

The client is primarily engaged in furnishing investment information and advice to companies and individuals concerning securities and commodities.

- **Annual Revenue:** \$55 Million
- **Number of employees:** 150+



A Third-Party Risk Intelligence Platform for
Assessing and Monitoring Key Commercial
Relationships

Monitored Third-Party Intelligence

- Alerts for Material Events and Changes
- Business Health
- CFPB Consumer Complaints
- Current Sanctions Status
- ESG Rankings
- Legal Items & Actions