

# Client Success Overview

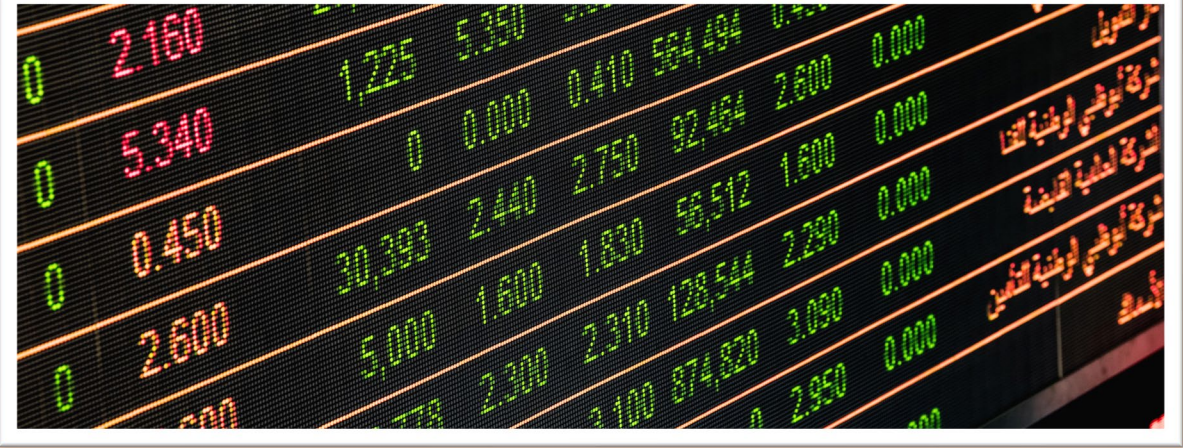
## Investment Services

### 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 and Actions

For more information, please email  
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