

alacra COMPLIANCE

Onboarding to Ongoing

Alacra Compliance is an entity investigation and risk alerting tool that addresses regulatory and risk requirements with an efficient, consistent and documented vetting process. Onboarding, Know Your Customer, Financial Crime and Credit Investigations departments can speedily gather the evidence and create the investigation results reports they need, while employing existing workflow processes and incorporating business rules and logic into each and every search.

Key Features

- Comprehensive set of business rules and logic configured for each LOB to assure standardised task completion
- One simultaneous search queries all necessary:
 - Regulatory watch lists
 - Premium databases
 - News and web resources
- Annotatable, date/time-stamped investigation results report automatically generated
- Managerial dashboard facilitates oversight and workload redistribution

The screenshot displays the Alacra Compliance web interface. At the top, it shows the company logo and navigation tabs: Queue, New, Tasks, Search, Results Report, Audit Trail, and Help. A 'log out' link is visible in the top right corner.

The main section is titled 'Investigation No. 235823' with a risk level of 'Medium', priority of 'Normal', and status of 'Review in Progress'. Below this, there are fields for:

- Requestor Name: Tom Cosgrove
- Investigation Name: ABC Consulting Inc.
- Investigator Name: cosgrovet
- Destination: Client Database
- Requesting Dept: FIU
- Role of Entity: Principal
- Primary Product: Equity
- Sales Location: New York
- Comments: (empty text box)

Below the investigation details is a section titled 'SEARCH EXTERNAL DATA SOURCES' for 'ABC Consulting'. It includes filters for Risk Level (Medium) and Entity Type (Private Company). A table lists various search services with their alert levels and statuses:

Service Name	Alert Level	Status	Comments	Upload	Done
▶ OFAC/Global Sanctions (Dow Jones Watchlist)	AC	Clear		<input type="checkbox"/>	<input checked="" type="checkbox"/>
▶ PEP (World-Check)	CC	Clear		<input type="checkbox"/>	<input checked="" type="checkbox"/>
▶ Regulatory Sanctions	AC	Match		<input type="checkbox"/>	<input type="checkbox"/>
▶ Adverse News (Factiva)	CC	Potential Match		<input type="checkbox"/>	<input type="checkbox"/>
▶ Liens and Judgments (Westlaw)	CC	Match		<input type="checkbox"/>	<input type="checkbox"/>
▶ Bankruptcy Filings	CC	Hit		<input type="checkbox"/>	<input type="checkbox"/>
▶ Civil Litigation	CC	Match		<input type="checkbox"/>	<input type="checkbox"/>
▶ Name/Address History	CC	Match		<input type="checkbox"/>	<input type="checkbox"/>
▶ Professional Licenses	CC	Potential Match		<input type="checkbox"/>	<input type="checkbox"/>
▶ Criminal Records	CC	Hit		<input type="checkbox"/>	<input type="checkbox"/>
▶ Fictitious Business Names	AC	Clear		<input type="checkbox"/>	<input type="checkbox"/>
▶ Death Records	CC	Clear		<input type="checkbox"/>	<input type="checkbox"/>
▶ Corporate Registrations (Secretary of State)	CC	Potential Match		<input type="checkbox"/>	<input type="checkbox"/>
▶ UCC Filings	CC	Clear		<input type="checkbox"/>	<input type="checkbox"/>
▶ Other				<input type="checkbox"/>	<input type="checkbox"/>

Frequently integrated content:

World-Check
 DowJones WatchList
 OneSource ■ D&B
 LexisNexis ■ Factiva
 Experian ■ Equifax

Benefits & ROI

- *Dramatic Time Savings & Capacity Increases*
- *Accuracy & Adherence to Global Standards*
- *Risk Mitigation from Exceeding Regulatory Requirements*
- *High Annual Cost Savings*

Top Five Challenges Addressed by Alacra Compliance:

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|---|---|---|
| 1. Investigation complexity
Entities + supporting info keyed into dozens of separate databases & websites. | ⇒ | Accelerates data retrieval
All best-of-breed, compliance-specific data sources searched simultaneously. |
| 2. Non-standardised investigations
Variations in policy, procedure and risk assessment by region, LOB & investigator. | ⇒ | Follows rules-based workflow
Entities, and all related parties, screened exactly as business rules & logic dictate. |
| 3. Weak documentation
Non-standardised reporting leaves audit susceptibility. | ⇒ | Generates investigation report
Annotatable report with all pertinent references and notations aggregated. |
| 4. Opaque managerial oversight
Low visibility over team's processing and volume variances. | ⇒ | Features manager's dashboard
Full queue and progress oversight with (re)assignment capabilities. |
| 5. Inconsistent re-screenings
Occur periodically when resources and bandwidth allow. | ⇒ | Offers automatic risk alerting
Daily/monthly/annual OFAC and adverse news checks + scheduled rolling reviews. |



Alacra develops workflow applications that enable 300,000 end users at financial institutions, professional services firms and corporations to search for, extract and analyse mission-critical business information.

Alacra has under license the largest collection of premium business information in the world and continuously collects the latest business data and financial events. Alacra aggregates and filters this content. Configurable solutions keep Alacra's clients up-to-date on their customers, prospects, investments, competition, partners and suppliers, driving business development and streamlining operations.

Alacra's mission is to aggregate, integrate, package and deliver business and financial content in ways that are most useful to our clients, which include nine of the top 10 global investment banks, all four major accounting firms, and nine of the top 10 consulting firms.

For more information, visit www.alacra.com. Contact: uksales@alacra.com. Telephone: +44 (0) 203 059 5765