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 standardized 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

alacra compliance Investigation No. 235823 ① Risk Level: Medium Priority: Normal Requestor Name Tom Cosgrove Role of Entity Principal Equity Investigation Name ABC Consulting Inc. Primary Product Investigator Name cosgrovet Sales Location New York Client Database Comments Requesting Dept ▼ SEARCH EXTERNAL DATA SOURCES a ABC Consulting 🖲 Risk Level: Medium Entity Type: Private Company Alert Level Status Upload Done ▶ OFAC/Global Sanctions (Dow Jones Watchlist) Clear oc Clear 0 ▶ Regulatory Sanctions AC Match Potential Match 0 ▶ Liens and Judgments (Westlaw) ▶ Bankruptcy Filings ac Hit 0 oc Match 0 Name/Address History ▶ Professional Licenses Potential Match 0 QC 0 ▶ Fictitious Business Names Clear ▶ Corporate Registrations (Secretary of State) Potential Match 0 ▶ UCC Filings QC Clear 0 Frequently integrated content: World-Check RDC Westlaw DowJones WatchList OneSource D&B LexisNexis - Factiva Experian TransUnion 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:

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-standardized 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

and volume variances.



Generates investigation report

Annotatable report with all pertinent references and notations aggregated.

audit susceptibility.

Non-standardized reporting leaves

4. Opaque managerial oversight

Low visibility over team's processing



Features manager's dashboard

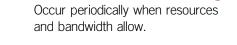
Full queue and progress oversight with (re)assignment capabilities.

5. Inconsistent re-screenings



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 analyze 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.

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