

OUTSOURCED RISK & COMPLIANCE SERVICE

Protiviti Offering

We provide a single solution that brings **world-class consulting** and the **largest global network** of highly skilled specialised interim resources together to **address your compliance needs**. Our **Outsourced Risk & Compliance Service** can help your business **manage end-to-end compliance operations** effectively, while helping you meet your regulatory obligations along with your operational efficiency needs.

Regulatory Compliance & Reporting



- Create and maintain **obligations registers**
- Design and update necessary **policies and procedures**; perform **periodic gap assessment**
- Support **regulatory reporting**

Enterprise Risk Assessment



- Design **risk assessment frameworks**
- Enhance existing risk assessment framework including **utilizing quantitative analysis tools**
- Perform **enterprise-wide risk assessment**

Customer Due Diligence



- Develop / update **risk rating models**
- **Perform onboarding, periodic review and trigger event review**
- **Provide automation solutions** to streamline onboarding

Transaction Monitoring



- Perform **transaction monitoring alert clearance**
- Escalate suspicious transaction and prepare **STR filing documentation**
- Review / validate **TM rules and thresholds**

Screening



- Perform screening including **sanctions, PEP and adverse media**; escalate screening results.
- Review/ Develop process to update screening lists
- Review and tune **screening models** to improve efficiency of the alerts captured

Training



- Prepare **compliance specific training material**
- Conduct **periodic general & role-based training**
- Maintain **communication protocols with business** on regulatory developments, regulatory inspections, and regulatory incidents/breaches

Strategic Solutions



- Assist with **vendor selection** and implementation of appropriate tools where needed
- Advise on **system enhancement** and **provide automated solutions** to streamline compliance operations
- Provide **Managed Business Service Offering** with resources from our **world class associate network of subject matter experts**. (Refer to page 2 for options)

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Managed Business Service Offering



Our **core** team knows you and your business. They are there for you to bring the capabilities of the entire enterprise to address your needs.



We have the **bench** strength to engage our combined skill and expertise.



Technology led world-class **resource delivery** team with a global footprint to help identify, vet and retain the specific talent that is critical to ensure your success.

1

Loan Staff

- Client directed; filling on premises resourcing
- Variable resources; pinpoint skills match
- Flexible duration; flexible cost structure

2

Outsourcing

- Protiviti directed; deliverables-based program management
- Rapid deployment; via tested methodology and tools
- Competitive value structure

3

Hybrid Teams

- Core local team delivery teams supported by Protiviti India
- Cost effective project execution with the ability to scale rapidly
- Readily available subject matter expertise and quality assurance

4

Transformational Partnership

- Long-term contractual commitments include:
 - Productivity targets
 - Value optimization
 - Continuous improvement
- Drive transformation and maintain global best-in-class practices

Contact Us



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