

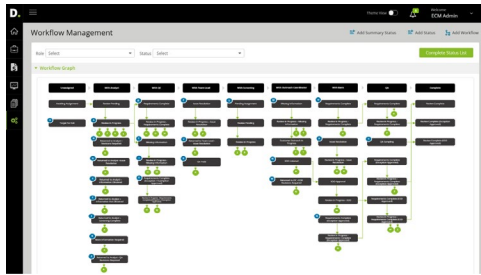
Enterprise Case Manager

Augmented workflow management for risk professionals

The Enterprise Case Manager (ECM) is Deloitte's proprietary case management platform that offers a wide spectrum of technology accelerators for focal entity research, internal and external data sourcing, workflow management, and reporting. ECM serves as a single platform for facilitating, tracking, and reporting on medium and large-scale risk management initiatives such as Know Your Customer (KYC) remediation and refresh, transaction monitoring model tuning, alert-clearing, lookbacks, Foreign Account Tax Compliance Act (FATCA) assessments, financial crimes investigations, and claims administration.

Rapid workflow customization

- Logical workflows customized to specific circumstances, accommodating different workstreams and user roles



- Workflow updates are implemented in real-time to respond to immediate circumstances for additional review
- Granular workflow permissions and controls help mitigate erroneous case movements and assignments
- Auto-assignments and auto-movements based on known patterns and rulesets decrease the need of manual scheduling

Policy and document management

- Questionnaires driven by entity type and risk-level matrix
- Documents uploaded and matched to their relevant policy requirements
- Quality and review standards enforced by data controls and real-time logic validation rules

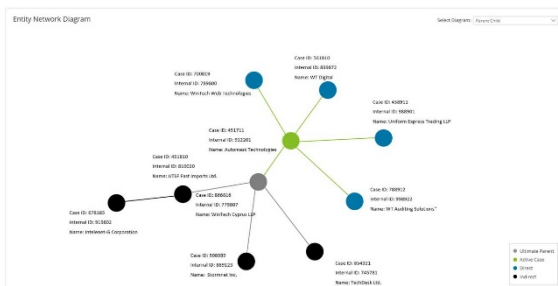
Transactional review on demand

- Enhanced due diligence with transactional insights and alert clusters
- Summary dashboards and activity visualizations help identify anomalous behavior and risk areas for disposition



Relationship-based client outreach

- Entity linkages based on identified hierarchy or common relationships enable reuse of data and documentation across groups and decrease redundant outreach



Simplified data integration

- Built-in user interface to upload, integrate, and refresh customer, account, and transactional data on a periodic basis
- Ability to coordinate automatic data feeds from third-party data repositories with filtering and risk prioritization

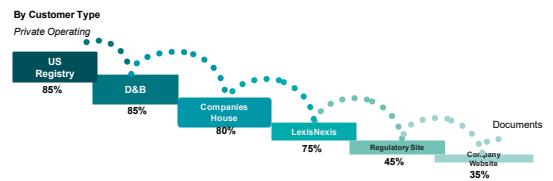
Auto-sourcing of internal and external focal entity data

- Leveraging robotic process automation and natural language processing technology, data and documents may be automatically sourced, processed, and linked to relevant case requirements

Private Operating	US Registry	Company Website	LexisNexis	Blomberg	Final Result	Data directly available
Official Name of Business	1	1	1	1	XYZ Company Inc.	XYZ Comp Inc
Physical Address	1	2	1	1	122 Farm Road Menlo Park, CA 94025	Menlo Park, California, United States
Nature of Business	1	1	1	2	Cross-platform mobile messaging company	Mobile development
Registered Address	1	1	1	1	1 Little House Drive, DE 17801	Delaware
NAICs Code	1	2	1	1	509811 (derived from Census Bureau)	No record
Locations/Markets Served	1	1	1	1	>180 countries	US, Asia
Source of Wealth	1	1	1	1	Operating Revenue (based on description)	Business Revenue
Beneficial Owners / Controllers	1	2	1	1	Rob X, Dan Y	No record

Legend: 1 Source hit and data found, 2 Disabled/not required steps after data found, 3 Source hit but data not found, 4 Compare in ECM with AI/ Analytics

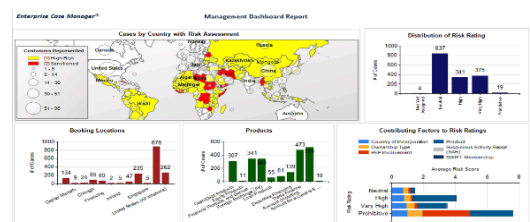
- Proprietary target sourcing strategy identifies the sequence amongst various information sources, improves document collection success, and may provide efficiency gains. The cadence changes per jurisdiction, customer type, and attribute, and is continually fine-tuned throughout the review



- Conflicts between internally- and externally- sourced data are identified and reconciled based on configurable "data waterfall"

Audience-oriented, user-configurable reporting

- Built-in reporting module to assist with day-to-day operation and support information flow and decision making at the site, function, and overall project levels
- Ability to design, develop, and release a new report or customize any existing reports in a matter of days



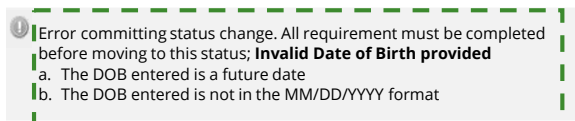
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- Standalone user-configurable reporting tool gives end users the flexibility to develop and configure their own reports, improves responsiveness, and reduces development efforts
- Flexible permissions and high granularity of data allows tiers of the application users to be given different access as needed

Automated and multi-layered quality control

- Integrated data validation and logic controls in the workflow, questionnaire pages improve analyst performance, reduce rework, and streamline quality control

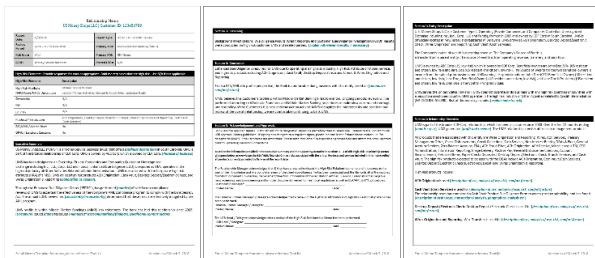


- Multiple-level QC checklists help identify ambiguity and common errors across the review population
- Feedback loop through retraining and controls customization facilitates continual quality and throughput improvement

QC Information	
CIP Requirements	* QC Name : Jon Smith
Documentation	* Date Reviewed : 09/19/2018
ECRR Requirements	* First Round Review : <input type="checkbox"/>
PEP Requirements	* Second Round Review : <input type="checkbox"/>
Related Parties	* By checking 'yes' to these boxes you are agreeing that you have reviewed the following aspects of KYC
Remediation Requirements	* Spelling and Language : Yes
Screening	* Reasonableness of Responses : Yes
QC Level 1 Checklist	* Supporting Documentation : No
QC Level 2 Checklist	

Risk narrative generation

- Auto-population of standard data-driven facts, risks, and compliance language in the risk narrative drafting process helps reduce errors and increases efficiency

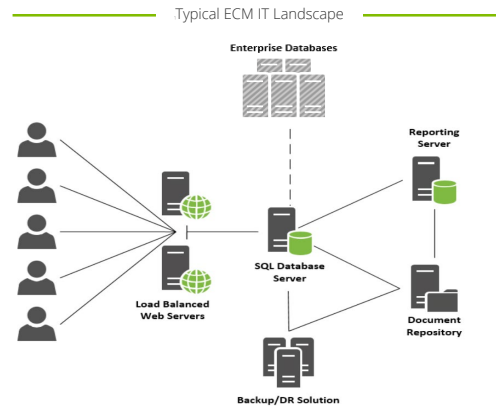


Change management, maintenance, and ongoing support

- Configuration updates such as workflow or data loading are applied and enforced in real-time directly through the user interface
- Projects typically establish a Change Control Board that is responsible for approving, prioritizing, and scheduling configuration changes and releases
- If hosted by Deloitte, Level 1 and Level 2 Help Desk services are available for application outages, triage, troubleshooting, and account resets
- Support is available across multiple geographies and languages, with a dedicated email and toll free number

Hosting and security

- May be deployed onto client IT systems
- Deloitte-hosted option with integrated multi-factor authentication security also available
- Fully-configurable user, status, and role-based permissions control what each user can see or edit throughout the review life-cycle



Client-hosted

- Expedited user login behind client firewall (avoids additional passwords and other authentication)
- Accessibility for more efficient data uploads
- Compliance with organization's IT data privacy policies

Deloitte-hosted

- Flexibility for off-site technology support, reducing implementation and support costs
- Accessibility to authorized internal and external users
- Expedited deployment

Training

- Deloitte can conduct user training for end users or provide "train the trainer" sessions to designated client user groups
- Technical training sessions and knowledge transfer conducted with organization's IT leads for client-hosted deployments

Contacts

For more information, please contact:

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