

One Risk View for Compliance Reporting

LEVERAGE THE APPIAN DIGITAL PLATFORM TO REIMAGINE AND TRANSFORM YOUR COMPLIANCE PROCESSES

- Manage compliance holistically with a low-code platform powered by business process management technology
- Become more agile and transform risk into core strength to launch new products faster
- Implement a digital overlay that complements legacy systems to strengthen governance architecture
- Proactively address effective risk data aggregation and reporting requirements

RAPIDLY CHANGING REGULATIONS IMPACT OPERATIONAL COMPLEXITY AND COST

Regulations aim at maintaining financial stability, but many firms respond to changing regulatory requirements with a linear and reactive approach. Mergers, acquisitions and divestitures further complicate the IT and operational environment.

As financial institutions take measures to comply with complex and overlapping regulations, traditional approaches to technology are quickly rendered ineffective. Point software solutions may provide interim relief but lack a holistic view; legacy systems are indispensable but tend to be rigid. Both drive operational complexity and higher costs.

How can financial institutions access all pertinent data for regulators in one integrated, secured source to achieve a One Risk View?

DEPLOY AN AGILE DIGITAL OVERLAY WITH THE APPIAN PLATFORM

Mastering rapidly changing regulations demands technology with a flexible, yet disciplined approach. Appian's integrated unified digital platform and intuitive interface address the challenges around compliance and deliver differentiated customer experience.

- **Achieve a comprehensive and integrated view.** The Appian unified platform—with unique Appian Records capability—enables management of risk processes on one low-code flexible platform, allowing improved oversight, accountability for decision making, and staff effectiveness in executing large scale data gathering programmes. With Appian platform you can implement processes to remediate issues identified during your data gathering and analysis. Compliance officers can categorize information by topic and deliver relevant reports associated with regulatory requirements.
- **Increase speed to compliance and change management.** With the low-code approach of the Appian Platform you can quickly deploy applications to manage and control the gathering of data from multiple sources.
- **Integrate people, process and data.** Appian assembles data from all sources into a comprehensive view and can be modified without losing sight of the entire process. Appian's easy to build and change rules enables the bank to collaborate and manage simple or complex procedures across all businesses and regions.
- **Improve productivity and efficiency.** Appian supports integration with multiple data sources, enables access to process optimization tools, and provides a full audit history of risk processes across multiple businesses and geographies, all on one platform.



CASE STUDY

Business Challenge

Missioned with delivering the best client experience, this firm offers a wide range of investment options making financial expertise broadly accessible. With \$5+ trillion assets the firm enables 25+ million people across 20,000 businesses and provides 10,000+ advisory firms with investment solutions.

Senior leaders had two distinct goals 1) deliver personalized, scalable solutions; and 2) simplify due diligence processes and be prepared for emerging compliance requirements. Current environment included multiple repositories, manual workflow management with minimal sharing, manual forms feeding multiple repositories and disparate reporting.

Appian Solution

Through an enterprise information portal using the Appian platform, all stakeholders can access pertinent data with clear visibility across all divisions.

With Appian Records, the product teams can launch new share classes in 7–10 days, down from 20 weeks.

The integrated portal provided a One Risk View reducing significant time and delivering effective governance.

With single sign on, the leadership team can share documents securely, access the central repository, manage workflow automatically and access reports on any device, all in real time.

FOCUS

Focus your efforts to meet all compliance challenges. With Appian, you can:

- Manage basic cases and more complex scenarios within the same process
- Create comprehensive views across events, departments, products and regions
- Conduct ongoing screening with reasonable review and escalation of exception cases

TAKE CONTROL

Take control of performance with the Appian application platform, a powerful yet easy to use platform for managing complex business processes.

Quickly build and deploy enterprise apps for:

- Know Your Customer
- Anti-Money Laundering
- Stress Test Management
- Fraud Investigations
- Regulatory Monitoring

PREPARE FOR THE FUTURE

The Appian platform can help you streamline operations, reduce costs, facilitate collaboration, and navigate change.

- Alleviate the mounting pressure to deliver innovation and new business models in the financial services sector.
- Integrate data silos holding critical information across the business, from the front-office to the back-office.
- Drive significant efficiency in work execution while leveraging your legacy system investments.

COMPANIES FROM ACROSS THE FINANCIAL SERVICES SECTOR TRUST APPIAN:



Appian provides a leading low-code software development platform that enables Financial Services Institutions to rapidly develop powerful and unique applications. The applications created on Appian's platform help companies drive digital transformation and enables competitive differentiation. For more information, visit www.appian.com