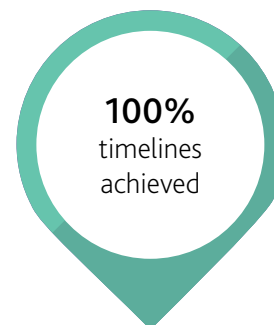
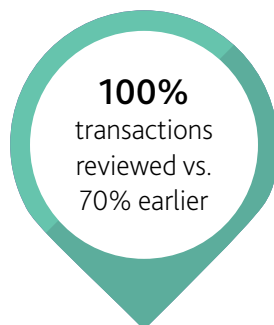


Impact Story –

Multi-functional Compliance Support for US-based Global Asset Manager



Client requirement

- » The Compliance team of a large US-based firm faced bandwidth constraints, which prevented it from focusing on critical tasks such as the implementation of policies, procedures, and controls
- » The client wanted to leverage offshore capability to supplement bandwidth
- » Moody's Analytics Knowledge Services was selected to enhance the Compliance and Internal Controls team's bandwidth by handling labor-intensive tasks such as ongoing monitoring, reporting, and process compliance and filing

How we solved the problem?

- » Conducted whiteboarding with the client's team to identify 10 tasks to be outsourced
- » Conducted a three-week onsite knowledge transfer program to help outsource the identified tasks

Processes supported included:

- » Guideline coding and monitoring
- » Post-trade-review support
- » E-communication monitoring support
- » Review of sales and marketing material
- » Code of ethics/tracking securities trading
- » Due diligence reporting
- » Internal controls reporting
- » Ad hoc support

What we did differently?

- » More rigorous implementation of controls
- » Deployed a streamlined screening process to review all existing and new clients
- » Reviewed and corrected 5x more sales and marketing material, annually
- » Reviewed 100% of personal share trading transactions vs. 70% earlier

Delivering process enhancements:

- » Enhanced the lexicon of filtering systems so more suspect emails could be reviewed
- » Prevented financial penalties by tracking and adhering to regulatory deadlines

About Moody's Analytics Knowledge Services

We enable organizations to innovate and transform in an ever-changing world. Our global pool of domain experts enables businesses to innovate, scale, and reduce costs. Providing customized solutions is in our DNA – solutions that have a tangible impact on our clients' top-line and bottom-line, enabling them to achieve more with less.

Our clients include leading bulge-bracket financial institutions, asset managers, Fortune 100 corporations, mid-tier companies, boutique investment banks, and funds. We support over 150 institutional clients through our team of 2,600+ employees and our global delivery centers, located in close proximity to our clients.