SAI360 for
Financial Services

Business-oriented,
Risk Focused,
Integrated and Flexible

Digital transformation is driving Financial Services firms to reinvent themselves at lightning speed. The rise of Fintech has increased pressure from non-traditional competitors, while raising your exposure to third-party risk. These changes impact business processes, customer experience, supply chains and employee work practices, which can radically alter your risk profile.

This new digital economy is boundaryless, with real-time free flowing information, yet traditional GRC programs are siloed. With a lack of integration, it is increasingly difficult to aggregate and report accurate, timely and complete risk data.
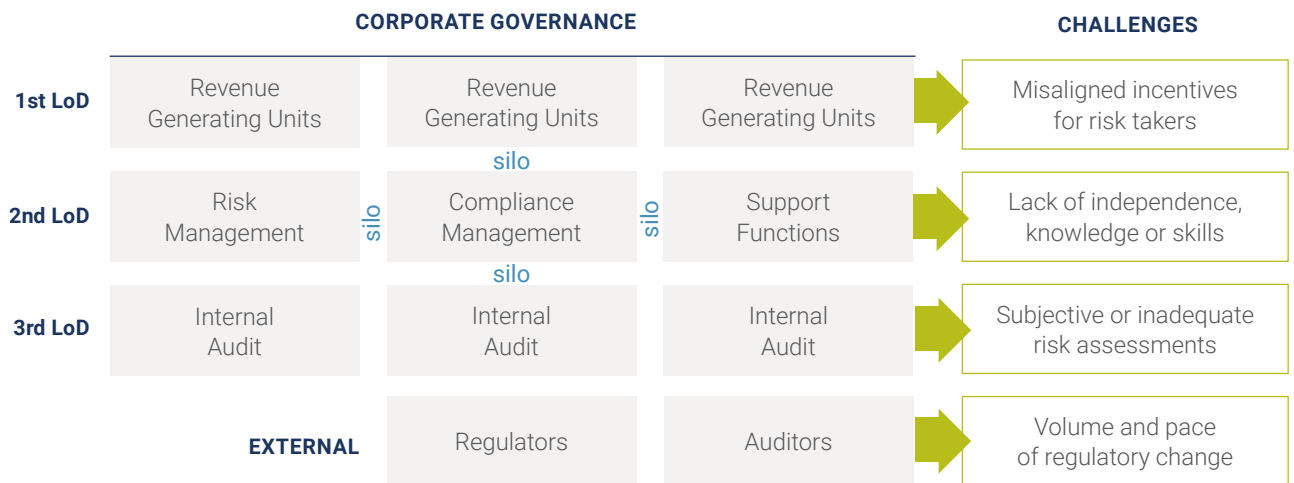
If risk management practices fail to keep pace, these challenges can lead to regulatory issues, business disruption and reputational damage. Customers have no tolerance for down time, data breaches or third party mistakes and social media empowers them to bring added attention to conduct issues. Regulators and the public increasingly call for individual accountability raising the stakes for company boards and executives. Traditional GRC has focused on compliance and struggles to overcome these challenges:

[software] to advance confidently

Risk Management Challenges

SAI360 for Financial Services accelerates time to value, eliminate silos and enables risk and compliance functions to address their most pressing challenges. With SAI360 there has never been an easier way to advance towards Integrated Risk Management — whether new to your role, responding to exam or audit finding, complying with evolving regulations or going through a merger.

Since the global financial crisis, the interaction between corporate governance and internal control systems has been scrutinized. In light of the frequency and cost of internal control system failures since the crisis, it is prudent to consider how you are addressing the following challenges.

	CORPORATE GOVERNANCE			CHALLENGES
1st LoD	Revenue Generating Units	Revenue Generating Units	Revenue Generating Units	Misaligned incentives for risk takers
		silo		
2nd LoD	Risk Management	Compliance Management	Support Functions	Lack of independence, knowledge or skills
		silo		
3rd LoD	Internal Audit	Internal Audit	Internal Audit	Subjective or inadequate risk assessments
EXTERNAL		Regulators	Auditors	Volume and pace of regulatory change

KEY RISK: STRATEGIC, OPERATIONAL, DIGITAL, COMPLIANCE

SAI360 Software and Services Editions for Financial Services

Editions allow you to create a custom set of solutions for your specific needs. Whether it's accelerating time to value or a large scale enterprise rollout, you decide which integrated solutions are right for your organization's risk appetite and business challenges.

Integrated Risk Management Software

EXPRESS

Designed to get your organization up and running quickly

Risk Management
Incident Management
Policy Management

- ✓ SaaS and On-premise Available
- ✓ Encrypted Data Storage
- ✓ Single Sign-on
- ✓ Upgrades Included
- ✓ Live Technical Support
- ✓ Local Support Americas, EMEA, APAC
- ✓ Standard Reporting
- ✓ Custom Statement of Work

PREMIUM

Recommended for organizations seeking a more robust approach to risk management

Express +2 More
Software Solutions

- ✓ SaaS and On-premise Available
- ✓ Encrypted Data Storage
- ✓ Single Sign-on
- ✓ Upgrades Included
- ✓ Live Technical Support
- ✓ Local Support Americas, EMEA, APAC
- ✓ Standard Reporting
- ✓ Custom Statement of Work
- ✓ Risk Intelligence Analytics
- ✓ Mobile Application

ENTERPRISE

Delivers a 360 view of risk across your organization

Premium +3 More
Software Solutions

- ✓ SaaS and On-premise Available
- ✓ Encrypted Data Storage
- ✓ Single Sign-on
- ✓ Upgrades Included
- ✓ Live Technical Support
- ✓ Local Support Americas, EMEA, APAC
- ✓ Standard Reporting
- ✓ Custom Statement of Work
- ✓ Risk Intelligence Analytics
- ✓ Mobile Application

ADD ON

- ✓ Custom Integrations
- ✓ Refinitiv World-Check Integration
- ✓ LexisNexis Integration
- ✓ Whistle Blower Hotline
- ✓ Risk Advisory Services
- ✓ Financial Services Compliance and Ethics Learning

SAI360

Integrated Risk Management Software Solutions

STRATEGIC AND OPERATIONAL RISK

Create objective and thorough risk and control self-assessments and loss tracking. Supports guidance from sources such as ISO 31000, COSO and SOX while allowing you to demonstrate independence via workflows with granular audit trails with the following software solutions:

- Risk Management
- Incident Management
- Loss Tracking and Reporting

COMPLIANCE RISK

Monitor regulations with updates from integrated content providers such as LexisNexis and Clear Markets Practices. Demonstrate oversight of sales compensation and incentive programs and independence via workflows and granular audit trails with the following software solutions:

- Regulatory Change & Exam Management
- Policy Management
- Conflict of Interest
- Gifts & Hospitality
- Survey Questionnaires & Assessments

DIGITAL RISK

Manage and mitigate risks from cybersecurity threats and protect your organization's data. Overcome common challenges surrounding cybersecurity and data privacy with the following software solutions:

- Vulnerability Management
- IT Risk Management
- Data Privacy and GDPR

VENDOR RISK

Securely expand your network of third-parties and IT vendors while expediting due-diligence reviews by leveraging integration with World-Check, SecurityScorecard, and Argos Risk with the following software solutions:

- IT Vendor Risk
- Third-party Risk
- Contact Management

BUSINESS RESILIENCY

Risk mitigation and disaster recovery programs that resolve issues as quickly as possible to minimize impact. Solutions can be deployed in weeks rather than months with the following software solutions:

- Business Continuity Management
- Crisis Management
- Disaster Recovery
- Contingency Management

AUDIT MANAGEMENT

Perform objective risk-based audit approach while automating all phases of audit process including selection, planning, execution, reporting, and follow-up with the following software solutions:

- Audit Management
- Control Testing
- Work Paper Management

Ethics & Compliance Learning

Learning solutions that build culture, protect reputation and create trust. EthicsAnywhere™ provides access to the largest collection of configurable, flexible, mobile and translated training and communication tools, with more than 20 risk topics in 59 languages. Topics include:

- Anti-Money Laundering
- Business Ethics & Corporate Culture
- Conflicts of Interest
- Employment & Workplace Issues
- Financial Integrity
- Data Privacy and GDPR
- Information Security
- Respect in the Workplace

Visionary Leadership – Recognized by Leading Industry Analysts

- **Visionary:** Gartner MQ Integrated Risk Management
- **Leader:** Gartner MQ Business Continuity Management
- **Leader:** Forrester Wave GRC Platforms
- **The Forrester New Wave:** GDPR and Privacy Management Software, Q4 2018

About SAI Global

SAI Global helps organizations proactively manage risk to create trust and achieve business excellence, growth, and sustainability. Our integrated risk management solutions are a combination of leading capabilities, services and advisory offerings that operate across the entire risk lifecycle allowing businesses to focus elsewhere. Together, these tools and knowledge enable clients to develop an integrated view of risk. To see our tools in action, request a free demo.

We have global reach with locations across Europe, the Middle East, Africa, the Americas, Asia and the Pacific.
For more information visit www.saiglobal.com/risk/financialservices.

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