

## Benefits

### Real Time Monitoring

Information is gathered in real time and presented on a live color coded (RAG) dashboard. Using this visual representation of your organizations data, any areas of concern or KRI's will be quickly identified.

### Governance of Funds & Fund Managers

The management and assessment of fund managers is automated with alerts, notifications, actions and reports. Allows you to track and manage areas such as AIFMD, Sideletters & more

### Risk & Control Library

Choose from ViClarity's large range of sample risks and controls which are updated on an ongoing basis to ensure your organization is up to date with the latest industry risks.

### Operational Efficiency

Improve operational efficiency by reducing the cycle time and costs of risk assessments, while improving resource utilization.

### Compliance Culture

Build confidence with regulators and executive management by establishing a strong risk, data governance, compliance and issue reporting process with clear lines of accountability.

## ViClarity

## Audit, Risk & Compliance

### Fund Management - The Business Challenge

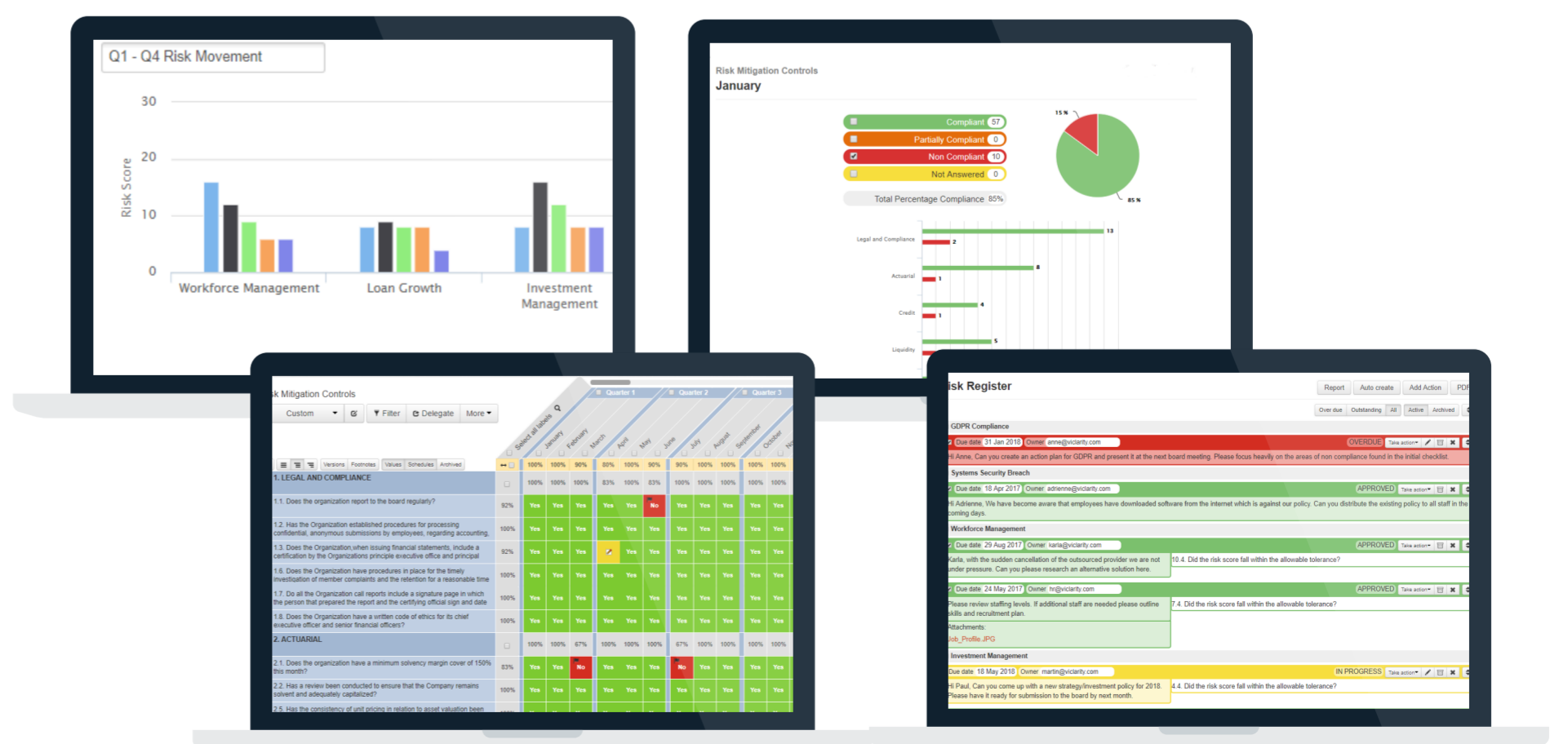
Operational Risk, Auditing and Compliance have become a real concern for fund managers that must keep up with changes in the global regulatory environment and industry standards. As enterprises adopt new business, establish new partner relationships and deploy new technologies, they must also quickly assess the impact of these developments on their existing compliance obligations, risk exposure and operational risks.

For critical processes, enterprises must be able to continuously monitor and detect failing controls, they must detect emerging risks and adjust controls and policies accordingly. The time taken to monitor, detect and report on risk and compliance is one side of the burden, the other is establishing remediation and risk mitigation actions and putting them in place and tracking them over time.

### The ViClarity Solution

The ViClarity solution for Investment and Fund organizations transforms the process of managing Operational Risk, Controls and Compliance. The ViClarity solution automates the process allowing you to effectively Identify, Monitor, Score and Report on Risk and Compliance. With ViClarity you can respond to real risks in real time.

ViClarity creates a culture of accountability and transparency for Fund organizations. We provide fund managers with a consistent and structured process around the on-boarding of new funds and the assessment of existing funds. The system comes with a wide variety of regulatory templates from regulatory bodies worldwide.



## ViClarity Use Cases

### Investment & Fund Mangers

#### **A Complete Risk & Compliance Framework**

The ViClarity solution enables organizations to manage their risk & compliance framework, including operational risks, policies, laws and regulations in one system. Once defined you can automate risk and risk mitigation control reviews across functional groups.

Organizations are faced with a multitude of internal and external risks, making risk mitigation a key element in achieving business growth.

The ViClarity Solution enables a structured and systematic approach to managing risk & compliance across the organization. It provides the team with an in depth insight to the organizations risk position at any point in time.

ViClarity's Risk Registers conduct pre scheduled risk assessments to collect information about existing and emerging risks. Details such as the Residual and Inherent Risk Ratings are collected over time. This clearly exposes any risk movement.

The performance of risk controls are monitored on ViClarity's Risk Control Attestation System and can be linked directly back to the Risk Register.

The ViClarity solution also comes with compliance templates which take regulatory documents and break them down into an easy to follow workflow. By answering the questions in the workflow organizations can quickly see areas they are non-compliant in and assign corrective actions.

The solution also incorporates the on-boarding of new funds and the qualitative and quantitative assessment of existing funds.

#### **Automate The Management Of Fund Sideletters**

ViClarity's intuitive solution allows for the automated management and assessment of Funds & their associated Sideletters.

Automated alerts, notifications, actions and reporting allow for complete oversight of Sideletter awareness.

A review of the terms can be conducted and signed off on by the relevant personnel on an ongoing basis.

Management can track which staff members are responsible for the monitoring of each Sideletter and their compliance to the terms of each individual Sideletter.

Reports can be generated by Investor, Fund or for all Sideletters.

#### **Vendor Risk Management**

ViClarity provides the ability to easily manage and assess vendors. The solution offers a complete lifecycle approach to managing vendors.

Areas such as Vendor onboarding, Vendor Risk Assessment, Vendor Due Diligence and Vendor Security Questionnaires can all be managed and tracked using the ViClarity Vendor Management solution.

Learn more at:

[www.viclarity.com](http://www.viclarity.com)