CONTEXT

Organization: Investment banks and index providers | Function: Benchmark administration teams Industry: Financial services | Geography: Global

Business Challenges Regulatory Financial Operational **Brand &** Reputational risk

Engagement expectation

Mitigating conflicts of interest

Improving quality and integrity of benchmarks Establishing control over benchmark processes

auditable processes

Creating

Rationalizing cost of compliance

Solutions

Transformation of benchmark operations via a customized service support

Extensive use of automation and technology solutions to improve data security, reduce calculation errors, and keep track of activities while maintaining costs under control

run parallel benchmark calculations

Independently-

Documenting

the quality of

datasets and independently calculate benchmark levels to minimize errors and mitigate risks arising from conflict of interest

Create new models with separate

- benchmark methodology Updating benchmark methodology

Data validation

checks on input

and sanity

methodology / benchmark calculation formulae, and create quality documentation Based on quality analysis, update the methodology

Look for gaps / errors in

document to match production models and ensure regulatory compliance

Check for errors and create sanity

checks on input data (price,

adjustments, etc.)

rebalance weights, corporate

data Periodic reviews of

benchmark

Creation of

deep-dive and

methodology

Ensure the methodology is relevant for and representative of the market segment for which

the benchmark is created

structured administrative logs Creation of

control

Report

frameworks

generation for

supervisory

Record restatements, breaches,

and other exceptions for better

transparency and security

Help internal audit and

- controls Timely lagging of issues and anomalies
 - Direct assistance to

internal and

external

Provide services that help the

procedures under their direction

auditors perform audit

and supervision

compliance teams design and

evaluate the effectiveness of

internal control processes

auditors



for investors)

(provision of

necessary level

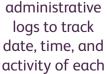
of transparency



EFFICIENT

(reduced "total

compliance)

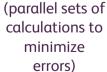


Benefits

AUDITABLE

(smart

user)



ACCURATE



COMPETITIVE

(higher

customer

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For details on how you can streamline your workflow with our

basket of firm regulatory solutions, contact us at:

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