

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

5x

increase in review of sales/
marketing material

100%

transactions reviewed
vs. 70% earlier

100%

timelines
achieved

CLIENT CHALLENGES

- » 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
- » Acuity Knowledge Partners 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

OUR APPROACH

- » 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

IMPACT DELIVERED

- » 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 Acuity Knowledge Partners

Acuity Knowledge Partners, formerly part of Moody's Corporation, is a leading provider of bespoke research, analytics, staffing and technology solutions to the financial services sector.

Headquartered in London, Acuity Knowledge Partners has nearly two decades of transformation experience in servicing over 300 clients with a specialist workforce of over 2,500 analysts and delivery experts across its global delivery network.

We provide our clients with unique assistance not only to innovate, implement transformation programmes and increase operational efficiency, but also to manage costs and improve their top lines.

These services are supported by our proprietary suite of Business Excellence and Automation Tools (BEAT) that offer domain-specific contextual technology.

Acuity Knowledge Partners is assisted by Equistone Partners Europe, a leading private equity organisation that backs specialist growth businesses and management teams.