



COMPLIANCE 2.0 PRODUCTS

RADAR



Promontory
Compliance Solutions

About Promontory

Promontory is a premier provider of risk management advice to companies and regulatory agencies across the world.

GENE LUDWIG founded Promontory in 2001. Gene is a former Comptroller of the Currency and Vice-Chairman of Deutsche Bank/Banker's Trust.

For more information about Promontory visit

www.promontory.com

RADAR combines technology with Promontory's expertise to provide an integrated platform to identify, assess, and monitor compliance risks. Take control. Try RADAR now.

Better Compliance Risk Management Through TechnologySM

RADAR solves a pressing problem facing compliance officers. New compliance obligations are proliferating. Penalties are soaring. Regulatory expectations are higher than ever. Investor and Board tolerance for compliance risk is low. Compliance risks have to be managed across multiple products and multiple business lines.

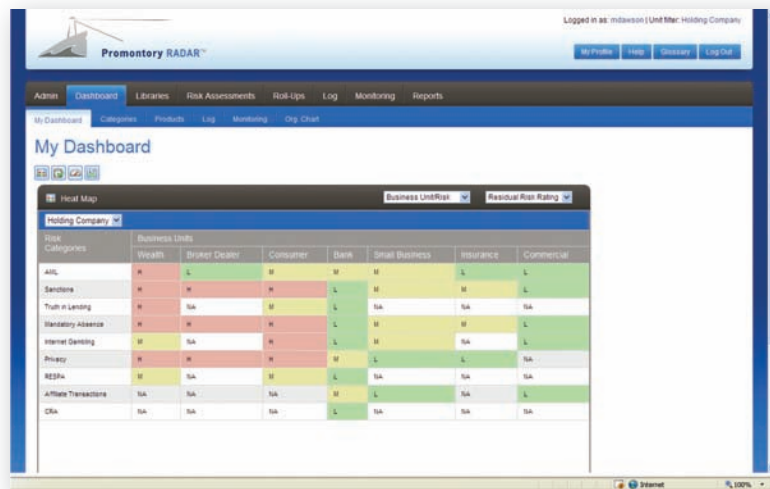
Drawing on our experience as regulators and risk managers, Promontory created RADAR to solve this problem. With RADAR, you can manage compliance risks with confidence. RADAR provides an integrated, web-based platform to identify, assess, and monitor compliance risks. See your top risks at a glance. Generate reports with ease. Satisfy regulators with a robust methodology. Track compliance issues such as program enhancements made in response to audit or regulatory findings. All on one platform – RADAR.

Contact Promontory to start a RADAR trial now:
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RADAR's integrated compliance risk management platform allows you to:

- Identify compliance risks
- Assess compliance risks
- Keep track of multiple risk assessments across different businesses, products, and geographies
- Automate a customized compliance monitoring and testing program
- Track compliance related issues
- Upload policies, procedures, and workpapers

“I want to see my top risks at a glance.”



Dashboards

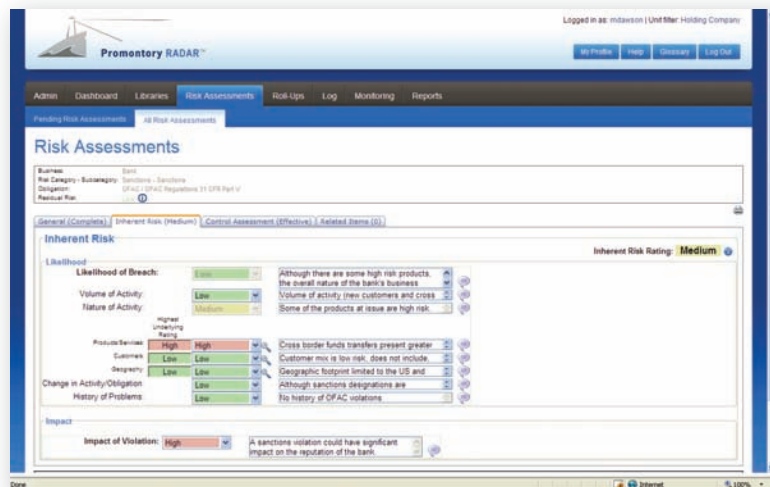
Personalize your dashboard with heatmaps, to do lists, key indicator gauges, and scoreboards to show top risks across an entire enterprise or within a specific business.

CASE STUDY:

COMPLIANCE RISK ASSESSMENTS IN A REGIONAL BANK

A large, complex bank with tens of billions in assets found that it was using hundreds of spreadsheets to manage compliance risks. The process was time consuming and difficult. Also, the spreadsheets lacked audit trails. The bank configured RADAR to accommodate its existing risk assessment processes and loaded its existing risk assessments into the application. The bank now uses RADAR's web-based functionality to conduct future risk assessments, saving time and improving their risk assessment processes.

“My regulators want a more robust methodology.”



Methodology

RADAR provides proven methodologies to assess top compliance risks. Users can easily customize the methodologies to meet their needs and risk profiles.

CASE STUDY:

ISSUE TRACKING IN A LARGE, COMPLEX BANK

A large, complex bank with multiple state and federal regulators uses “Log” – the issue tracking module of RADAR – to track the status of compliance program enhancements. The bank can track enhancements to address regulatory findings by different regulators and the internal audit function, as well as program enhancements that the bank has initiated on its own. The bank can link related issues and generate reports, including reports of major issues that are coming due by issue owner. The bank uses the module to ensure that issues are not only completed on time, but that they are validated to confirm they will meet regulatory requirements.

“I need quick reports for management and the board.”

“And, of course, I need...”

Top Compliance Risks Report – ABC Holding Company March 15, 2010

The screenshot shows a web-based report interface. At the top, there's a header with the company name and date. Below that is a table with columns for Risk ID, Risk Name, Risk Category, Risk Rating, and Risk Status. The table contains several rows of data. Below the table, there are two sections: 'Top Compliance Issues' and 'Notes'. The 'Notes' section contains a list of bullet points:

- Rising top compliance risks are
 - Fair Lending (driven by increased possibility of use of prohibited bases in credit-scare environment) and
 - Sanctions (driven by outsized third party loss data (e.g. Iloyds, Credit Suisse DPAs).
- Internet gambling remains a close watch pending its effective date in June.
- Monitoring and testing program is behind, but results thus far conform to expectations.
- Compliance function headcount is -10% below budget. A number of potential hires are in train, however, and we expect to put headcount back on budgeted plan by YE.

- ✓ **UP TO THREE FACTOR USER-AUTHENTICATION**
- ✓ **ROBUST PERMISSIONING BY BUSINESS, GEOGRAPHY, RISK TYPE, AND ROLE**
- ✓ **THE ABILITY TO UPLOAD WORK PAPERS AND OTHER DOCUMENTATION**
- ✓ **AUDIT TRAILS**
- ✓ **SCALABILITY**
- ✓ **SECURITY**
- ✓ **THE POWER OF A SQL DATABASE**

Reports

Print high level summary reports or detailed reports of individual risk assessments. Use pre-packaged reports or download key data to spreadsheets.

Secure, Web-based Platform

RADAR has all the security and audit trails you expect. Plus you can permission users by function, risk category, business, and geography.

Take control. Try RADAR now.

In 24 hours, you can be up and running on a trial version of RADAR hosted on Promontory's secure servers.

Promontory will help you configure the trial version to match your business and risk profile. Promontory can show you how to make the most of RADAR in a series of web-based tutorials.

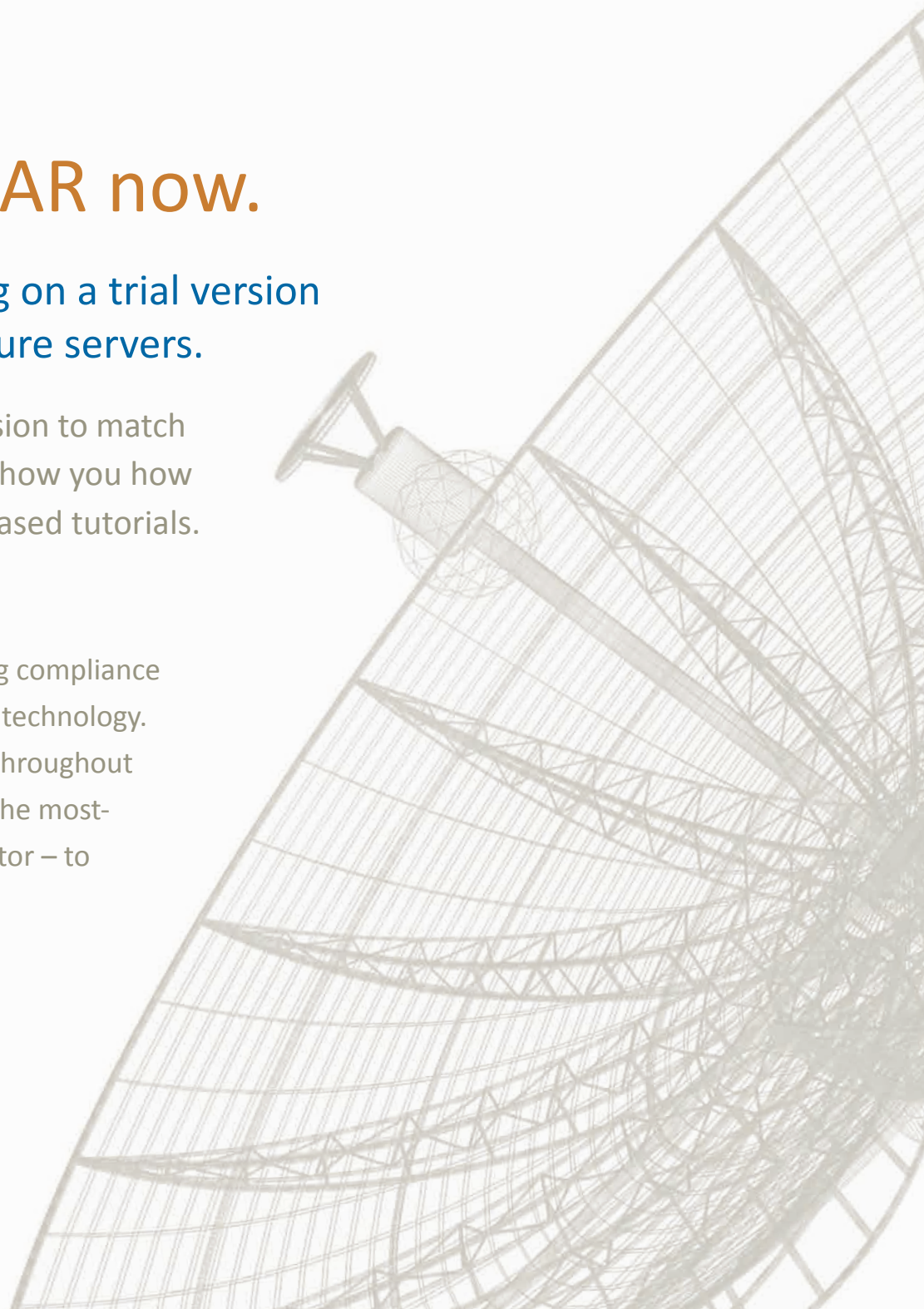
ABOUT PROMONTORY COMPLIANCE SOLUTIONS:

Promontory Compliance Solutions is devoted to helping compliance professionals achieve better risk management through technology. We draw upon the compliance expertise of personnel throughout Promontory – personnel with extensive experience at the most-senior levels of regulatory agencies and the private sector – to create superior compliance technology.

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