

Ethics Rising: Process Automation for **Financial Services**

See why 8 of the top 10 global financial services firms depend on Mitratesch



Despite the honesty and best efforts of the great majority of the financial services industry, **only 56% of consumers still find financial services trustworthy**, according to the 2020 Edelman Trust Barometer. That's largely due to constant media stories focusing on data breaches and compliance scandals, and lingering mistrust from the 2008 financial crisis.

To restore that trust, leading FinServ organizations **rely on Mitratesch**. Why? Because we're experts in

solving legal, risk, and compliance challenges for financial services organizations. **80% of our risk and compliance clients are in financial services**. So we're uniquely equipped to help you build consumer trust.

With Mitratesch's end-to-end suite of past-proven, future-proofed solutions, **led by TAP Workflow Automation**, you'll grow consumer trust and loyalty by efficiently, cost-effectively supporting a culture of ethics and compliance across your entire organization.

We understand the demands of financial services:



Build trust with your consumers: TAP lets you automate operational and compliance processes so compliance is embedded in them, no matter when or where they're used across the organization. So you'll extend compliance, improve customer experiences, and avoid reputational damage and penalties for non-compliance.



Cut the high cost of compliance (and non-compliance): TAP and other Mitratesch solutions help you eliminate those process costs and errors, so you can proactively enforce agile compliance, avoid penalties, and automatically archive compliance efforts so you can prove defensibility.



Stay compliant with ever-changing regulations: With TAP and other Mitratesch solutions, risk and compliance teams can form a center of service and excellence for the entire enterprise by helping you swiftly and comprehensively meet obligations under a growing universe of regulations including SOX, GDPR, CCPA, MIFID II, Volker, and more.



Mitigate risk internally and externally: With Mitratesch solutions, you'll not only identify and mitigate risk throughout your organization but even among your vendor and supplier networks, removing other sources of exposure and liability.



How will TAP benefit you?



Accelerate processes and efficiency:

Process and workflow automation results in fewer errors, reduced labor, and improved accuracy and accelerated execution – resulting in better, quicker compliance at much less cost.



Ease of use and adoption: With no coding required and intuitive, drag-and-drop interfaces, our solutions let you quickly design, build, and implement any workflow without technical resources.



Improve governance: Centralized control of all your optimized risk and compliance-related processes lets you recognize and analyze issues wherever they occur, earlier than before, so you can reduce their impact on the enterprise.



Reduce barriers: Dissolving internal cross-departmental barriers via automated processes with broader, more effective reach and engagement improves collaboration and spreads compliance throughout the organization.



Engage your employees: Ease-of-use and automated notifications for employees inspires them to engage more actively and positively with compliance teams.



See immediate ROI: Quick adoption means you'll put Mitratech solutions to work in hours or days, not weeks or months, driving results ASAP.



Take visible leadership: Your risk and compliance team becomes a standout transformation leader within your organization

Use Cases:

Where you can apply TAP

Just a few of the processes you can quickly automate to maximize their efficiency, accuracy, and speed.



Conflicts of Interest

Identify and manage disclose potential conflicts and ensure they're reviewed and approved by the right stakehold



Non-Disclosure Agreement

Automatically create, route, and review new non-disclosure agreements, allowing teams to focus on non-standard requests



Quarterly Certifications

Send automatic requests and forms to key stakeholders to gather the right certification information and signatures ahead of final deadline



Policy Exceptions

Let employees easily submit questions about current policies or request exceptions so they can stay compliant



Whistleblower

Allow the anonymous report of misconduct or fraudulent activity, whether internally or externally



Services Request Portal

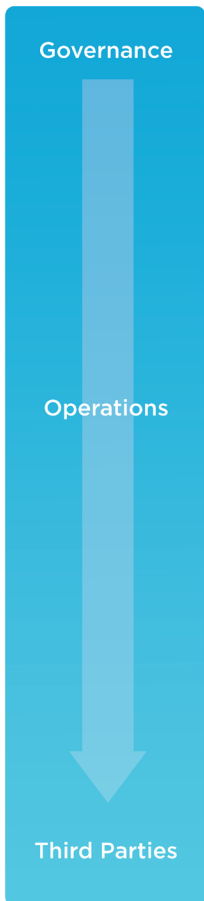
Online intake forms and helpdesks allow employees to locate standard information and answers to questions without having to wait for a manual response

Part of an end-to-end suite of solutions

TAP Workflow Automation

TAP empowers you to automate nearly any repetitive manual process, so you can focus on what's important: doing the work, not wrestling with workflows.

It's part of the Mitratach Enterprise Compliance Suite, an end-to-end set of solutions for mitigating risk across your organization. Only Mitratach offers a full spectrum of integrated products like this, helping risk and compliance professionals deliver proactive resilience to their organization.



With **CMO**, manage your obligations under thousands of ever-changing regulations.



With **PolicyHub**, meet those obligations and ensure employee compliance by quickly and easily creating, reviewing, communicating and capturing attestation for new policies.



With **EnterpriseInsight**, get a next-generation solution for managing enterprise risk across your organization with unprecedented ease and insight.



With **ClusterSeven**, gain full lifecycle risk management for your organization's exposure to all non-IT supported applications and technical assets including models, tools, calculators, end-user computing and spreadsheets.



With **DataStore**, collect, manage, and mine key and compliance-critical data and content everywhere within the business via a secure "single source of truth" central repository.



With **TAP Workflow Automation**, embed your policy and information governance best practices in operational processes throughout the enterprise via easily automated, fully audited and flexible processes.



With **VendorInsight**, deploy a best-in-class Vendor Risk Management solution combining ease of use with advanced features such as vendor risk assessment, automated vendor monitoring, fourth-party vendor tracking, concentration risk analysis and more.

Learn More

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