



MPHISIS ON GOVERNANCE, RISK AND COMPLIANCE

Increasingly stringent regulatory mandates demand that financial institutions address weaknesses in their risk management and compliance capabilities.

Managing and mitigating systemic risk is a discipline at the core of every financial institution. Financial institutions continue to invest identify, assess, manage and control their vulnerabilities. Here are a few of the challenges we have observed:

- Keeping up with the pace of changes or additions in regulations
- Ensuring regulatory compliance despite using multiple diverse and siloed systems
- Balancing the cost of compliance with the ability to drive revenue growth

In order to address these challenges, financial institutions are engaging in:

- Rolling out enterprise - wide risk management programs
- Tightening control over management of data
- Investing in compliance technologies (frequently siloed) each time a regulation is added

The Mphasis GRC framework and domain-specific solution offerings are specifically designed to accelerate our client's journey to develop an integrated path for compliance and risk management and a sound governance approach. This enables organizations to reduce risk exposure, limit penalties and in turn improve corporate performance.

Why Mphasis

Integrated solutions across operations, technology and consulting for risk and compliance professionals

Our GRC services address the requirements of Banking and Capital Markets across North America, Europe and Asia Pacific. We offer customized solutions and operational expertise to a wide range of business functions such as:

- Corporate Banking, Investment Banking and Treasury
- Retail Banking, Mortgage and Cards
- Asset Management and Private Banking
- Wealth Management and Retail Brokerage

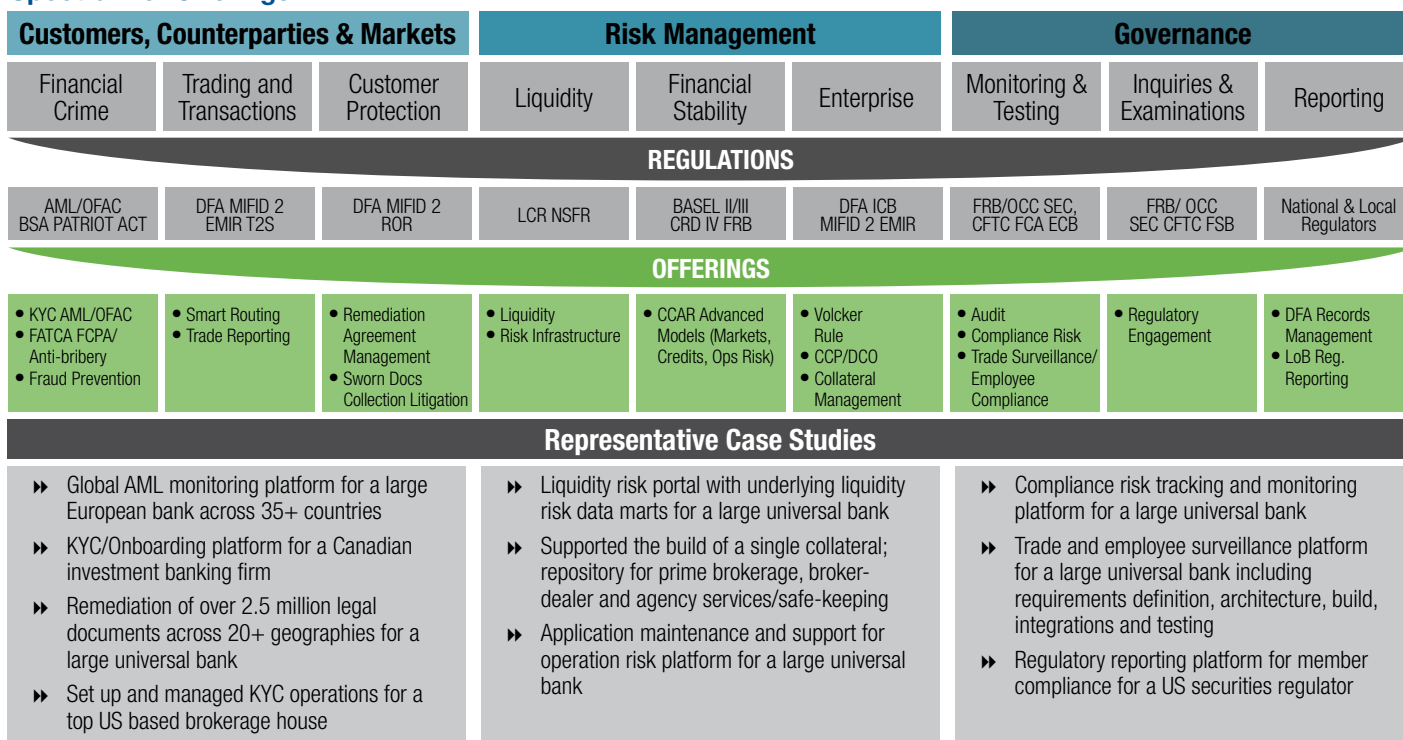
Our ability to solve client's problems using a combination of domain knowledge, process expertise and process improvement techniques based on six-sigma and automation make us the ideal partners for financial institutions.

Our success stories with some of the largest financial institutions bear testimony to our claim.

We provide:

- Integrated solutions for enhanced market competitiveness and responsiveness, and meet regulatory requirements at optimum costs
- Flexible engagement model and innovative solutions to maximize operational excellence

Spectrum of Offerings



- Innovative data management and lineage, analytics and customer experience management solutions
- Specialized knowledge in various Financial Services segments to deliver greater business impact and minimize operational risk
- Versatile delivery capability – a smart mix of global presence for flexibility, scalability and resilience addresses your needs and changing business imperatives

The Mphasis Governance, Risk and Compliance Solution Portfolio

Comprehensive and specialized solution portfolio for specific needs

- Financial Crimes (KYC, AML, Sanction Screening, Risk Profiling, SAR Investigation)
- Remediation Services (Legal / Data / Documents / Customer)
- Third Party Oversight
- Risk Control Self Assessments
- Consent Order Fulfilment
- Regulatory Engagement Management
- Compliance Risk Management
- Trade Surveillance / Employee Compliance
- Liquidity Risk Infrastructure
- Stress Testing & CCAR
- Regulatory Reporting

The Mphasis Knowledge Force

- Domain expertise, enabled workforce and deeper insights for success
- Financial Services competency center to provide the winning edge in skills and capability
 - Reference architecture for branch and corporate audits, compliance risk tracking and regulatory engagements
 - Point Solution for new products approval
- Competently trained and enabled work force on a range of domain and complex functions for higher competency and faster process gestation

About Mphasis

Mphasis an HP Company is a USD 1 billion global service provider, delivering technology based solutions across industries, including Banking & Capital Markets, Insurance, Manufacturing, Media & Entertainment, Telecom, Healthcare, Life Sciences, Travel & Transportation, Hospitality, Retail & Consumer Goods, Energy & Utilities, and Governments around the world. Mphasis' integrated service offerings in Applications, Infrastructure Services, and Business Process Outsourcing help organizations adapt to changing market conditions and derive maximum value from IT investments. Contact us on www.mphasis.com

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