

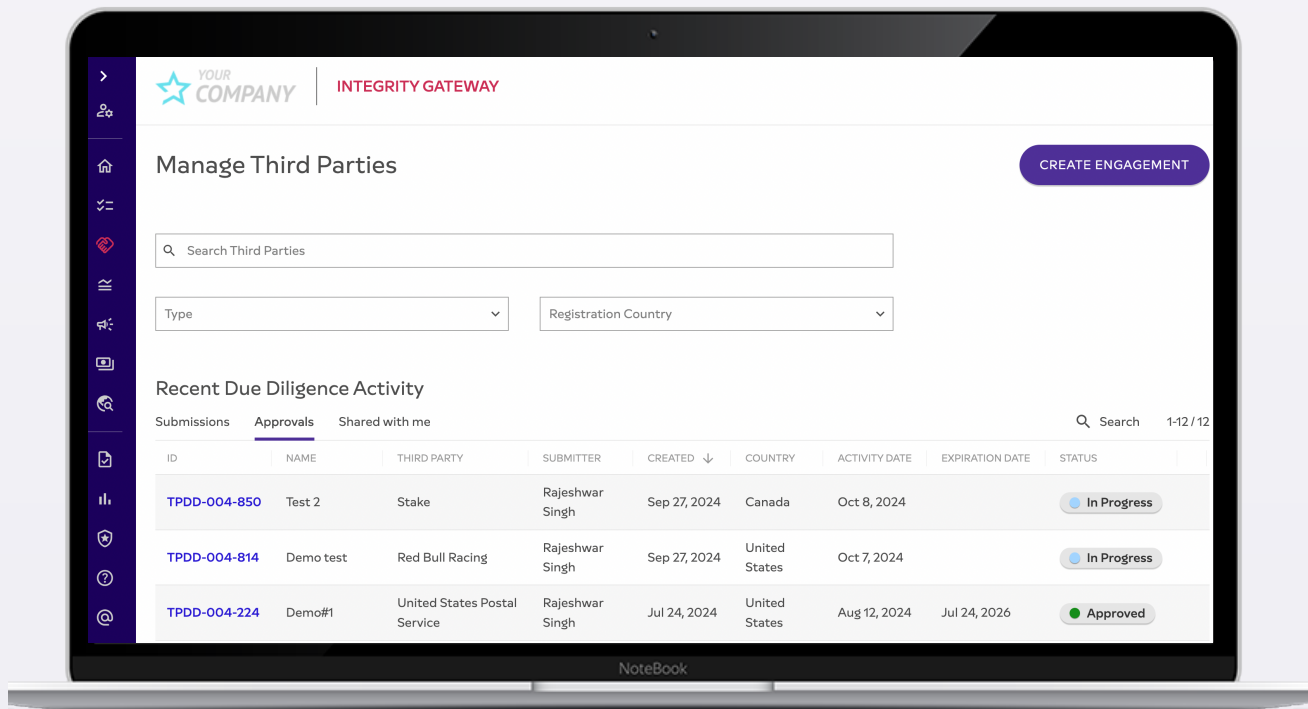
Case IQ

PRODUCT OVERVIEW

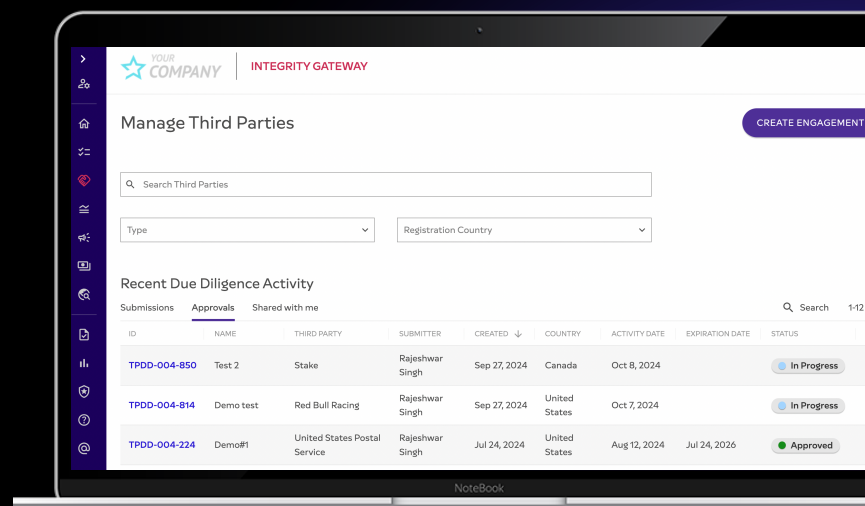
Third-Party Management

Case IQ's Third-Party Management

With the acquisition of Lextegrity, Case IQ's Third-Party Management software allows you to automate your end-to-end third-party risk management program across risks and across the life cycle of your third-party engagements in one integrated solution. Our experience working in-house at global companies led Case IQ to build the most intuitive and user-friendly third-party management software available on the market today, easing the burden on your employees and third parties.



Our responsive, web-based platform enables companies to manage all of the steps in their third-party risk management process in one system, from collecting business rationale questionnaires from internal stakeholders to gathering due diligence questionnaires from third parties. The intelligent workflow engine can easily manage complex levels of question and approval logic and complicated risk scenarios.

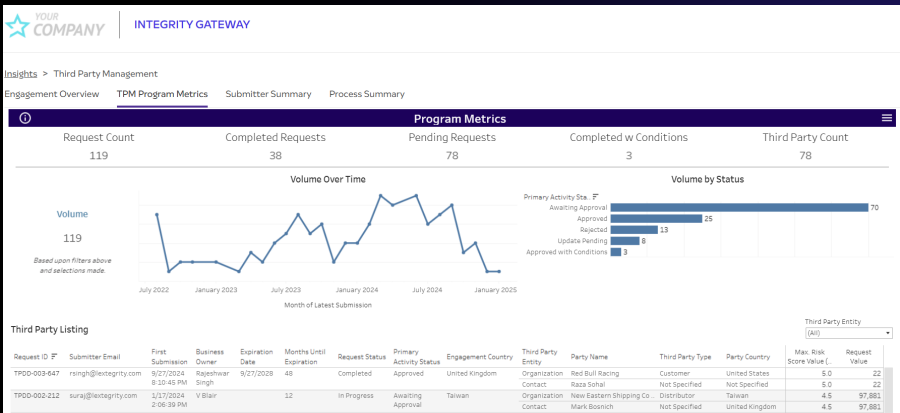


Risk score third parties, whether vendors or customers, in an automated manner across multiple risk factors, such as relationship type, countries, and scope of work. Customers configure the risk scoring methodology to tailor risk management efforts for their specific industry, country of operations, business model, and other factors. Third-party risk scores can be deployed in the application to drive approval logic and other requirements. Risk levels can also be tied to ongoing monitoring of third-party financial transactions through the Case IQ's Third-Party Management Software.



Case IQ partners with global data providers to automate sanctions, PEP, and adverse media screening and resolution in a fully automated and embedded manner within the platform. Screening is highly configurable by customers to suit their review needs and thresholds. Customers can automate ongoing reputational monitoring from thousands of global sources to identify changes in sanctions, PEP, or adverse media that may arise during the lifecycle of a third-party relationship. Case IQ partners with leading enhanced due diligence service providers, enabling organizations to order enhanced due diligence for their highest-risk engagements directly through the platform.

The reporting and dashboarding tools give access to real-time and over-time data by third-party, country, business unit, and employee business sponsor. Filter, drill down, and gain 360-degree visibility across the company's third-party landscape, then download real-time reports and data exports in seconds and export visualizations for Board and Compliance Committee presentations at the click of a button. Our technology ensures compliance efforts are continuously documented and preserved, with a full audit trail within the request record to help auditors and investigators and reduce risk.



Third-Party Risk Scoring

● Multi-Dimensional

Risk score your third parties, whether vendors or customers, in an automated manner across multiple risk factors, such as the type of relationship, countries involved, and the scope of work.

● Configurable

The risk scoring methodology is configurable by customer to rightsize your risk management efforts to your specific industry, country of operations, business model, and other unique risks.

● Powerful

Third-party risk scores can be deployed in the application to drive approval logic and other requirements. Risk scores can also be tied to ongoing monitoring of your third party's financial transactions through the Case IQ Compliance Monitoring software.

Engagement Risk Score and Level

Risk Score

3.2

Risk Level

0 1 2

Risk Areas

▼ Bribery & Corruption

2.9

▼ Sanctions & Trade

0

▼ Information Security & Data Privacy

5.0

▼ Reputational & Legal

5.0

Screening & Enhanced Due Diligence

Automated Screening

We partner with global data providers to automate sanctions, PEP, and adverse media screening and resolution in a fully automated and embedded manner within the platform. Screening is highly configurable by customers to rightsize review efforts.

Ongoing Reputational Monitoring

Automate ongoing reputational monitoring from thousands of global sources to identify changes in sanctions, PEP, or adverse media that may arise during the life of your third-party relationship.

Enhanced Due Diligence

We partner with leading enhanced due diligence service providers, allowing your organization to order enhanced due diligence for your highest-risk engagements directly through the platform.

Business Rationale, DDQs & Approvals

End-to-End Automation

Manage all steps in your third-party risk management process in one platform, from collecting business rationale questionnaires from your business to due diligence questionnaires from your third parties.

Intelligent Logic

Our intelligent workflow engine is capable of managing complex levels of question and approval logic and complicated risk scenarios.

Best-in-Class User Experience

Our experience working in-house led us to build the most intuitive and user-friendly third-party management software available on the market today, easing the burden on your employees and third parties.

Data & Analytics Driven

Advanced Reporting & Analytics

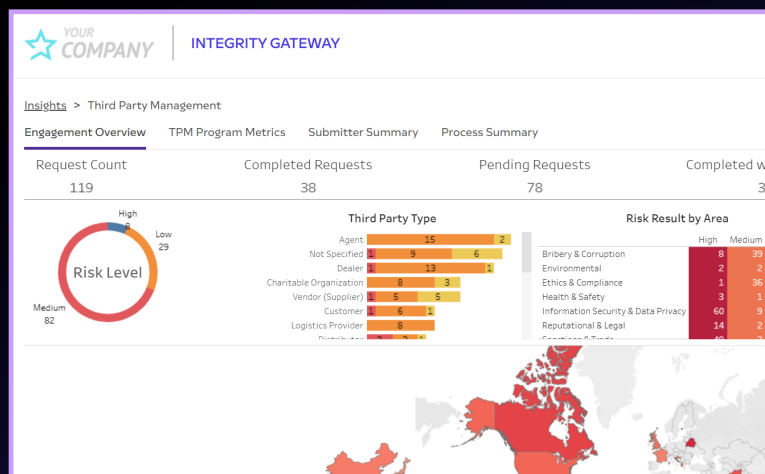
Get access to real-time and over-time data by third-party, country, business unit, and engaging employees. Filter, drill down, and have 360-degree visibility across your third-party universe.

Fully Exportable

Download real-time reports and data exports in seconds. Export visualizations for Board and Compliance Committee presentations at the click of a button.

Fully Auditable

Our technology ensures compliance efforts are continuously documented and preserved, with a full audit trail within the request record itself, to help your auditors and investigators.



Privacy & Security at the Core

● SOC 2 Certified

Our application is SOC 2 certified, meeting the world's highest standards for information security.

● Privacy & GDPR

Our application and database are stored in Europe to support your GDPR efforts.



Simple & Quick to Deploy

● Out of the Box & Configurable

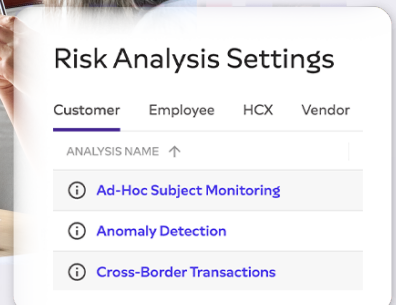
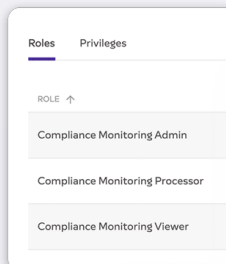
Our pre-designed content and workflows allow you to roll-out a world-class program in weeks, with minimal effort.

● Supports SSO & Integrations

Enable single-sign-on and integrate with leading HR, master data, and financial systems to make roll-out even smoother.

● With Expert Partners by Your Side

Our team will support you the whole way with training materials, train-the-trainer sessions, and 24/7 technical support for the application after go-live.



The Problem We're Solving

We focused on the challenges every compliance team faces:



Employees lacking sufficient tools to assess risk and own their own compliance



Interfaces for the business that are not user-friendly or intuitive



Too few legal or compliance resources to support the business



Disorganized and disparate data stores, making insights difficult to generate



Risks managed in multiple systems that do not talk to each other



Not having real-time analytics and monitoring, leading to missed anomalies

Case IQ

LEARN MORE

Request a demo today to explore how Case IQ can streamline your processes. Visit www.caseiq.com or scan the QR code.

sales@caseiq.com | (800) 465-6089

