

OnePlace Risk & Compliance

Managing transactional risks in professional and financial services

James Edwards

Client Experience Director,
Risk & Compliance, Intapp

Marie-Claire Le Houérou

Head of Risk Solutions and
Strategic Projects, Intapp

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Introductions



James Edwards

Client Experience Director,
Risk & Compliance
Intapp



Marie-Claire Le Houérou

Head of Risk Solutions
and Strategic Projects
Intapp

Agenda

- Introduction
 - Responding to a complex world and changing risk landscape
 - Managing risk effectively and efficiently during the new business onboarding lifecycle
- Panel discussion
 - Effectively managing risk to gain an advantage
 - Ensuring agility and responsiveness to internal and external environments
 - Preparing for the future and unknown challenges

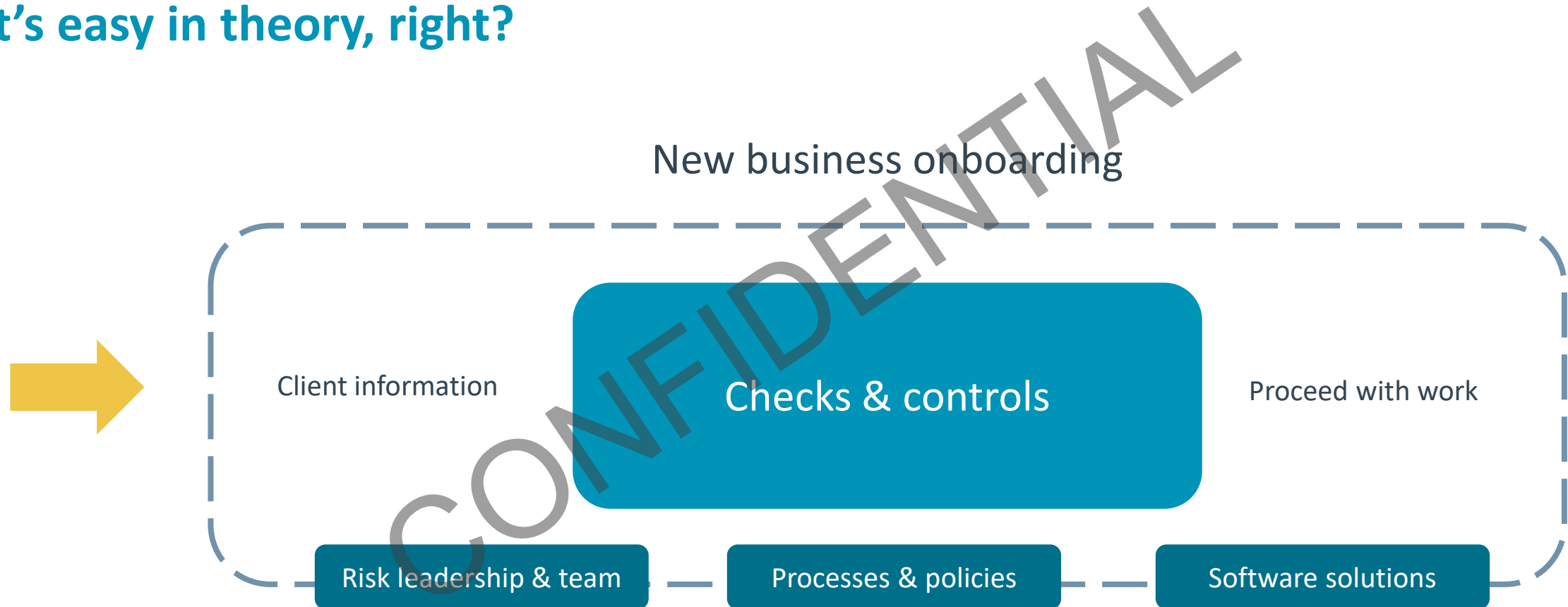
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Responding to a complex world
and changing risk landscape

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Risk management practices: the assumption

It's easy in theory, right?



Risk management practices: the reality

Effective risk management requires the skills and knowledge to navigate the push and pull between internal organizational factors and an increasingly complex ecosystem of external factors

Geopolitical events
Macroeconomics



Domestic regulations
Microeconomics

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Digital & operational transformation



Competitive landscape



Service offerings & quality

Managing risk throughout the new business onboarding lifecycle

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What does good look like?

Driving improvements and alignment between your people, processes, and technology solutions



Right people

- Employees with the right skillsets and expertise
- Escalation processes and handoffs between teams to ensure timely and streamlined client onboarding



Right information

- Necessary, accurate information collected upfront
- Data review and governance program
- Automation and integrations to remove manual effort and time-consuming administrative data entry



Right time

- All tasks and responsibilities are completed efficiently
- Processes that differentiate between high-volume, low-risk, and high-risk transactions
- Ongoing monitoring, sanctions/PEPs checking

The value of effective and efficient risk work practices



Manage risk for the firm

- Maintain the firm's alignment with regulatory and professional responsibilities
- Ensure risk is managed in accordance with risk appetite set by firm leadership
- Protect the firm from various types of risk



Facilitate more business and firm growth

- Prevent time wasted pursuing transactions unfit for the firm
- Reduce write-offs
- Maintain a 360° view of client relationships to help surface new opportunities



Improve the client experience

- Accelerate onboarding procedures and time to value for client
- Avoid unnecessary back and forth when collecting onboarding information

Panelists



Brenna Greenwald

Regional Counsel,
Head of Business Acceptance

Freshfields Bruckhaus Deringer U.S.



Mark Law

Chief Conduct
and Ethics Officer

Citizens Bank



Jennifer Stakes

Director of Business
Intake & Conflicts

Cooley



Chris Boettger

Partner, National Office
of Risk Management

RSM U.S.

Panel discussion

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Panel discussion

Adding value whilst managing risk

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Panel discussion

Agility and responsiveness

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Panel discussion

Preparing for the future and unknown challenges

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Thank you

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