


FOUR USE CASES FOR CONTROLLING YOUR DATA AND MANAGING YOUR BUSINESS

ASG's Audit & Analytics Services (A&AS) automates audit and reconciliation business rules aligned with corporate policies and compliance regulations.

It helps organizations strengthen internal controls, enhance data integrity, reduce fraud and boost operational performance. **Read these use cases to learn more about A&AS in action.**

 <p>BUSINESS CHALLENGE</p>	<h2>01 GLOBAL INVESTMENT MANAGEMENT COMPANY</h2>	<h2>02 INTERNATIONAL PAYMENTS PROCESSING COMPANY</h2>	<h2>03 INVESTMENT MANAGEMENT COMPANY</h2>	<h2>04 LARGE FINANCIAL ORGANIZATION</h2>
 <p>SOLUTION DELIVERED</p>	<p>Auditing and balancing statements was a manual, time-consuming process, and Audit Service Level Agreements (SLAs) took 20 days.</p>	<p>Credit/debit card transaction reconciliation was fraught with duplicate statements and processing, slowing down completion.</p>	<p>Organization was experiencing operational challenges including a lack of traceability, transparency and auditability of processes and outcomes.</p>	<p>Organization needed to comply with SEC regulation SEC17a-3 and a-4 as well as monitor various data sources to compare for unusual trends including the identification of insider trading.</p>
 <p>IMPACT CREATED</p>	<p>Used A&AS to audit millions of statement pages per month, archived in the ASG Mobius Content Services repository and Federation Services.</p> <ul style="list-style-type: none"> • Reduced SLA time by 65% • Saved \$1.74 million annually • Improved audit services of statements • Lowered risk for all business transactions • Sped up onboarding of new clients • Allowed internal auditors to focus on exceptions 	<p>Used A&AS to reconcile millions of credit/debit card transactions and then provide the summary report.</p> <ul style="list-style-type: none"> • Enabled timely and reliable detection of duplicate credit/debit card transaction statements • Met daily SLAs with their customers • Allowed rapid changes to exception handling and reporting rule sets to accommodate upstream/downstream change 	<p>Used A&AS to automate processes including calculating and verifying monthly commissions for transfer desk agents, balancing financial records and account verification.</p> <ul style="list-style-type: none"> • Reduced time spent on manual data preparation by 85% • Saved over 150 man hours a month • Automated 100 internal processes across 20 business units • Verified new accounts to comply with provisions of the Anti-Money Laundering Act 	<p>Used A&AS to perform data reconciliation, file receipt verification and data validation for all relevant content.</p> <ul style="list-style-type: none"> • Remained in compliance with regulations from various governing bodies that monitor financial services companies, including SEC17a-3 and SEC17a-4 • Established anti-money laundering monitoring (triggering further investigation) • Reconciled totals from outside vendors with in-house financial systems of record