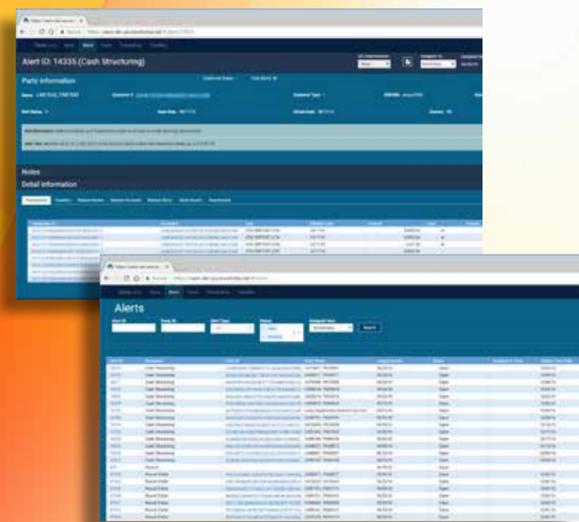




OUR PROPRIETARY

**REWIND**  
Look-Back Software

Our REWIND software provides relief to the compliance department and management during a stressful time. REWIND is a tool exclusively available to ARC Risk and Compliance clients as an efficient, auditable, and user-friendly software tool to minimize headaches, false positives, user error, and manual processes during a look-back project. This tool is available independently from that of which the institution is currently using, and is voluntary.



**Key Benefits of our Software:**

- Look-back focused software
- Data Flexibility
- Data is encrypted both in-flight and at rest
- Ability to roll-up cases for more efficient case management
- Custom workflow capability
- Thorough case management

## About ARC Risk and Compliance

ARC Risk and Compliance is an award-winning specialized consulting company dedicated to anti-money laundering compliance programs and the processes that support them. That specialization includes transaction monitoring/the Bank Secrecy Act (BSA), sanctions screening/Office of Foreign Assets Control (OFAC), Know Your Customer (KYC)/Customer Due Diligence (CDD) programs, and FinCEN 314(a) requests. We are the AML specialists.

We can bridge the communication gap between what compliance needs and IT can support with the system they have. We believe that in order to bridge the gap between compliance and IT, the expert needs to be able to communicate to both departments, have knowledge and experience in both, and provide experienced solutions. We've been able to combine that knowledge and experience for a more thorough solution addressing both the compliance and IT requirements. Our approach ensures a better rate of success than non-specialized companies.

Many of ARC Risk and Compliance's team members were leaders in the initial design, development, and deployment of many of the leading AML software in use today. Our team has a deep compliance background that can assist banks with their regulatory and compliance challenges.

Every customer is important to us and we will provide the best service possible to all clients. ARC Risk and Compliance is a certified veteran-owned small business and has a large network of professionals and alliance partners to support the ever growing demands within the financial industry.

## Some of Our Services

**Validation & Review Services**

- ✦ AML Model Validation
- ✦ AML Gap Analysis
- ✦ AML Procedures: Review and Updates

**Remediation Services**

- ✦ Data Mining: Analysis and Correction
- ✦ Look-Back Services
- ✦ Regulatory Remediation Services

**Staffing & Outsource**

- ✦ AML Program Outsource
- ✦ Staff Augmentation

**Assessing, Analyzing, & Tuning Services**

- ✦ AML Risk Assessment
- ✦ Rules/Risk Rating/Profiling: Statistical Data Analysis
- ✦ Tuning and False Positive Exercise

**Regulatory Specific Services**

- ✦ NYS DFS 504 Pre-Certification Service

**Custom Development**

- ✦ Custom Software Development

**Cybersecurity Services**

- ✦ Audits and Compliance
- ✦ Vulnerability Assessments
- ✦ User Training
- ✦ Virtual CISO
- ✦ Penetration Testing
- ✦ Systems and Services Installation



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PREMIER SERVICE

LOOK-BACK

REVIEW

SERVICE



The AML Specialists

## EFFECTIVE AND EXPERIENCED TRANSACTION LOOK-BACK MANAGEMENT

A look-back sounds simple, or complex, depending on your perspective. Simply put, it's the process of reviewing a set of transactions over a defined period to determine if any suspicious activity occurred, which went previously undetected. Through our highly experienced data scientists and the AML depth of knowledge, our compliance experts have been able to employ efficiency, time, and money-saving measures. The ARC approach to a look-back project provides a FI with skilled analysts to review the required data, the technological and compliance- experienced resources throughout the engagement, the use of specially optimized proprietary software to conduct the review independently, and a clear understanding of what you are getting and what to expect.

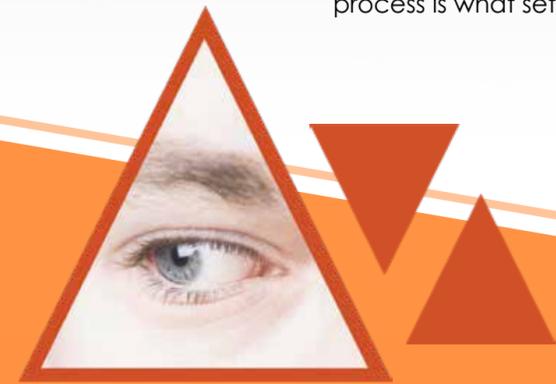
Our experienced staff combined with our cutting-edge proprietary software and our *Tri-Ally* approach reduces the time and expense of look-back projects. Because of this, we can ensure a better rate of success for our clients.

## DATA PROCESS BENEFIT

Typically, the hardest part of a look-back is prepping and processing the data. We have experienced all types of scenarios - poorly maintained historical data to easily catalogued data - but getting that data to be useful is what can determine the success of a look-back review. So to start this project, we begin by reviewing the data available.

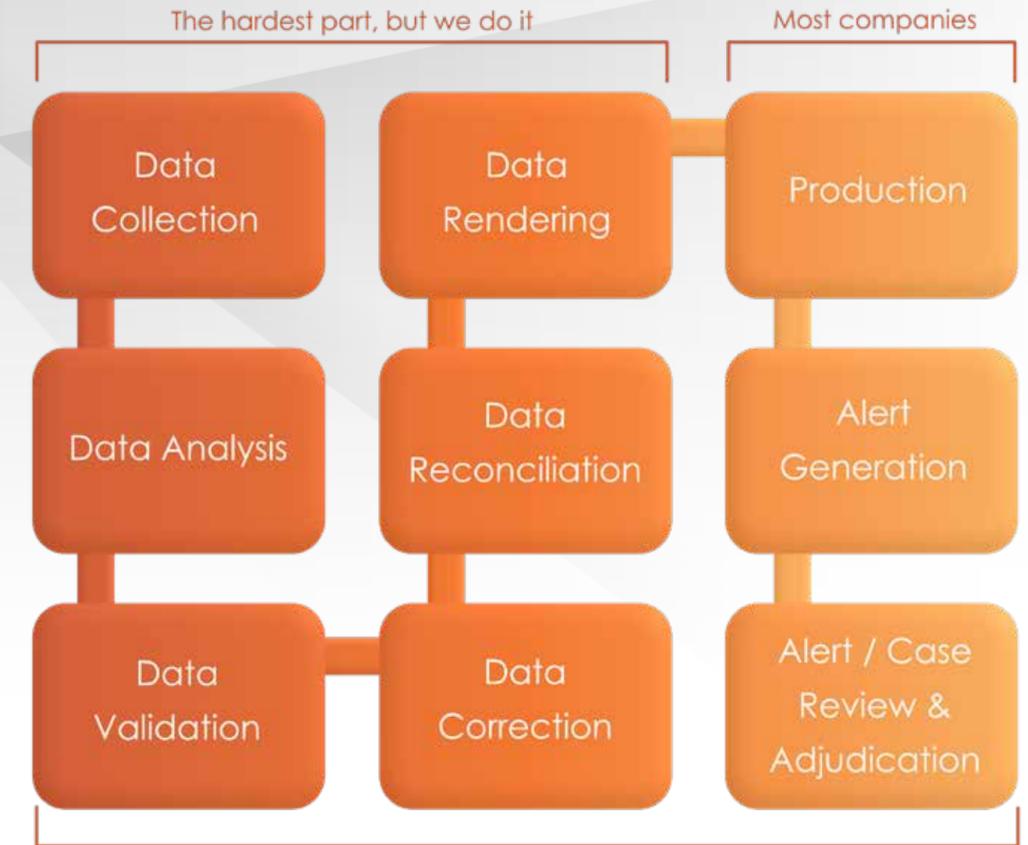
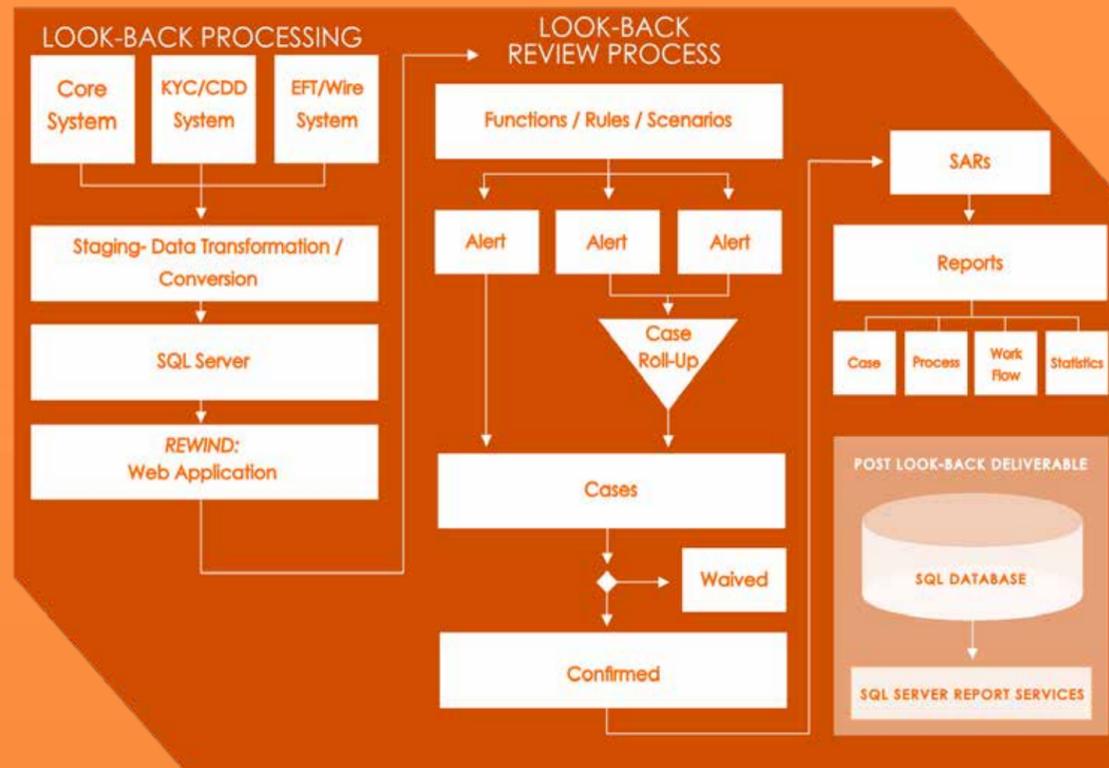
This starts with normalizing all of the selected data, uploading the data into our optimized look-back software, and then running the data through a series of rules in order to produce alerts for review. Once cases have been reviewed, each case will either be waived or confirmed and a SAR submitted by the institution. Reports are available for management and a SQL database is provided for legal data retention requirements at the conclusion of the look-back effort.

The data will be able to dictate much of the rest of the project, such as the number of alerts, the required number of case analysts, and roughly how long the review will take. This process is what sets us apart from the standard methodology.



## CASE ANALYST BENEFIT

With each look-back project we will assess the needs of the review period, which will determine the number of case analysts required. Our case analysts are trained, experienced anti-money laundering professionals and can be made available on your site or on our site. Because of our software, our case analysts are more efficient and require less quality assurance time by a lead case analyst. We will investigate all cases and work with you on the next steps. We do everything keeping you and the most ideal outcome in mind.



The ARC Risk and Compliance Proven Methodology

### Key Benefits of our Service:

- Specially designed look-back optimized methodology
- Data import expertise/experience
- Support available to extract, transform, and load your data
- Industry software expertise; such as Actimize, Abrigo (BAM+), Prime Compliance Suite, Verafin
- Proven effective case management methodology for use by analysts
- Look-back experienced U.S. based staff