CONFLICT OF INTEREST

Securely empower your workforce to disclose sensitive information regarding potential or actual conflicts of interest with integrated internal investigation tracking, workflow and reporting.

Providing Full Transparency and Critical Risk Insights

319 InSight offers the perfect solution for corporations to deploy a safe, secure and powerful Conflicts of Interest Disclosure resource. In general, a conflict of interest (COI) is a situation in which a person or organization is involved in multiple interests, financial interest, or otherwise, one of which could possibly corrupt the motivation of the individual or organization.

Due to the broad topic areas that potential conflicts of interest may reside within, 319 InSight offers full customization of all data capture / questionnaires. This ensures that the disclosing body is eased into the correct sets of questions and allows a structured, yet highly flexible environment to collect the most important and relevant information related to the conflict.

319 Black Box

Connect Salesforce, SAP, Oracle and even internally built systems to the 319 Business Process Automation Cloud with **319 Black Box**. The best in class, reconfigurable, robotic system-to-system connectivity engine streamlines process for the utmost intelligence, fastest cycle times, and lowest cost of operation.

Conflict of Interest Disclosures Highlights:

- **FULLY DIGITAL, ELEGANT PROCESSING:** Typically, the COI disclosure process within organizations has been a fragmented process – with paper forms, e-mails, and .pdfs all being used to collect information. As a result, compliance departments can receive incomplete, illegible, and incorrect information, lengthening cycle times and increasing burden on auditors. The process becomes even more burdensome when many contributors are required to fulfill a compliance requirement related to the conflict.

- **CUSTOM WORKFLOWS & NOTIFICATIONS:** The 319 InSight Conflicts of Interest Disclosure Application has been engineered to handle any type of data collection and business process conditions. It offers time-saving digital tools that ensure accurate and complete information is delivered to compliance officers.

- **SINGLE SOURCE SOLUTION FOR THE ENTERPRISE:** The application provides important auditing, notification, and reporting tools that occur directly in-line, making for one single point of repository for all activity related to the disclosure, including remediation and mitigation actions.

- **MULTILINGUAL SUPPORT:** Significantly, the 319 InSight Conflicts of Interest Disclosure Application can be delivered in multi-languages; assuring global users can quickly and easily contribute required information to the compliance department in their native tongue while also providing in-line translation tools for reviewers to audit the information in their own preferred language.

KEY BENEFITS OF
Conflict of Interest Disclosures with 319 InSight

Empower Employees
to Safely & Easily Disclose
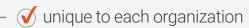
Secure Sensitive &
Confidential Information

Gain Important
Business Intelligence

CONFLICT OF INTEREST CONT'D

■ **DYNAMIC REPORTING** can look across any data sets captured not only within the application, but any application deployed within the platform to spot trends and gain business intelligence. For example, you may report on a reported conflict with a vendor while comparing with data collected in the third-party due diligence process. Other features of reports in Platform319:

- Push-button PDFs or Excel-based files
- Real-time on-demand
- 100% customizable
- Automatically delivered to a distribution list on a schedule (management report once a week for example)
- Populated in custom portals, dashboards and workstations as desired by users
- Able to be generated in-line within forms and delivered via notifications from an event within the process

COMPLIANCE BUSINESS PROCESSES ARE

- ✓ unique to each organization
- ✓ dynamic and ever-changing
- ✓ becoming more complex each year
- ✓ requiring integration to internal systems
- ✓ involving engagement of the entire enterprise

> **" Compliance business processes are involving engagement of the entire enterprise "**

Compliance is no longer simply the "police" within an organization's operations. The importance of a transparent and compliant organization across the enterprise has never been higher. Besides negative consequences such as irreparable reputation damage or enforcement actions / fines; a compliant organization is also an efficient and sustainable organization.

As a result, all factions of an enterprise must be truly engaged within all compliance processes. An example of this phenomenon is explained in the World Economic Forum's report "Partnering Against Corruption Initiative (PACI)":

"The PACI Principles ask the Board of Directors (or equivalent body), the Chief Executive Officer (or Executive Board) and senior management of signatory companies to demonstrate active and visible commitment to the company's anti-corruption programme. Along the same line, an organization's top leadership should make clear to everyone in the organization that the appointment of or partnerships with third parties should be subject to risk-based due diligence to mitigate potential corruption risks."

"In particular, an organization's training programme may be used to promote the integration of third-party due diligence into key business processes, such as sales, procurement, finance and marketing."

319 InSight's technology is fully reconfigurable and seamlessly engages the appropriate users / departments / factions of an organization when appropriate and dictated by policy. BlackBox brings an even further level of engagement across not only people, but systems, allowing for system-to-system connectivity through a reconfigurable API. Systems such as Salesforce.com, SAP, and even homegrown systems can kick-off screening processes, retrieve and display results, and affect internal system processes.