

REFINITIV<sup>®</sup>

COMPLIANCE DESKTOP

THE SOLUTION  
THAT MANAGES  
ALL ASPECTS OF  
YOUR COMPLIANCE  
PROGRAM

REFINITIV<sup>®</sup>

DATA IS JUST  
THE BEGINNING<sup>®</sup>



REFINITIV®  
COMPLIANCE DESKTOP

**Assess**

Third-party questionnaires  
and risk scoring

**Identify**

Watch list database screening  
Risk due diligence

**Manage**

Reviewing and monitoring  
Remediations

**Track**

Reporting

**Refinitiv® Compliance Desktop  
is a single platform containing  
multiple compliance solutions  
designed to help accelerate your  
business results.**

The platform provides operational support for your compliance function, focusing on third-party and employee compliance, due diligence and anticorruption risk management, helping you make better decisions.

Our solutions are designed by former compliance officers and have been built from the ground up with one sole purpose in mind: to meet compliance managers' needs.

The scale of our technology offering suits enterprises with minimal requirements through to global Fortune 500 companies that regularly deal with hundreds of thousands of third parties across every continent.



# Overview of features



## Third-party questionnaires and risk scoring

- Use the results of our initial questionnaires and comprehensive risk-scoring methodology to determine the risk level of each of your third parties against your risk appetite to help you decide the next step of the onboarding process
- Full functionality to build as many of your own questionnaires as you want in a choice of 18 languages
- Questionnaires for every purpose (e.g., culture surveys, internal questionnaires, feedback surveys) on a single platform
- Automated reminders and renewals to prompt people to complete questionnaires in a timely manner
- Approval workflow to meet your organization's structure



## Watch list screening

- Curated content that is focused on over 20 compliance risk areas, including corruption and bribery, fraud, sanctions, modern-day slavery, intellectual property and many more



## Due diligence requests and management

- Request and manage due diligence reports within Refinitiv Compliance Desktop



## Remediations

- Integrate with other Refinitiv Compliance Desktop Anti-Corruption Compliance Platform modules to enable one-click recording of remediation actions
- Upload evidence of completed remediation steps
- Record a remediation item and assign tasks to primary and secondary assignees
- Create flexible priority categories and issue types to categorize remediation entries
- Designate resolution completion dates and reminders to owners, requesters and assignees
- Allow task assignment and communication to non-Refinitiv Compliance Desktop users regarding their tasks

## What makes it different?

### Built by compliance experts

Our compliance experience means the software applications that we build are practical, simple and effective.

### Flexible

Refinitiv Compliance Desktop is fully configurable and customizable to suit your organization's branding, user access and approval workflow structure.

### Integrated

Our architecture allows you to integrate Refinitiv Compliance Desktop with hundreds of systems – including SAP, Salesforce, Oracle and HRMS systems – using a standard API model.

### Easy to use

Our commitment to simplicity is reflected in our technology. Refinitiv Compliance Desktop is simple to use, and coupled with our training support, mastering the system is easy.

### Hosting

Refinitiv Compliance Desktop is fully hosted on a data center in Europe that meets the highest security requirements. We also have additional third-party hosting solutions or you can host the platform in your own environment.



## Is it secure?

**We built our platform and maintain it with security in mind – that's why we are certified in the global standards for information security: ISO 27001 and ISO 27018.**

Our hosting partner offers some of the highest levels of data security, including:

- A hosting facility that has completed an examination in conformity with the SSAE 16 Type II Service Organization Controls
- Physical security, including access control and environmental security
- Antivirus and backup support
- Firewall protection that reduces the available network access to the minimum level to run the applications
- Full disk encryption to ensure that if the servers are compromised, the data on them is not found in a usable format
- Encrypted remote site backup to ensure that the service can be built in an alternative site and that no more than 24 hours' worth of data is lost in a complete site disaster-recovery situation
- Dozens of other security features that meet or exceed industry best practices for data security

## Are you struggling to manage routine compliance tasks?

We have the compliance, country and technology expertise to support you.

Our compliance experts can:

- Manage your compliance process
- Conduct screening and analyses on your behalf
- Manage and review reports
- Provide alerts and metrics



*We understand and offer solutions that suit the way compliance professionals work.*

*We help you to manage your routine compliance tasks more efficiently.*

Refinitiv is one of the world's largest providers of financial markets data and infrastructure, serving over 40,000 institutions in approximately 190 countries. It provides leading data and insights, trading platforms, and open data and technology platforms that connect a thriving global financial markets community – driving performance in trading, investment, wealth management, regulatory compliance, market data management, enterprise risk and fighting financial crime.

Visit [refinitiv.com](https://refinitiv.com)

 @Refinitiv  Refinitiv

RE1313401/12-20

**REFINITIV**<sup>®</sup>  
DATA IS JUST  
THE BEGINNING<sup>®</sup> 