



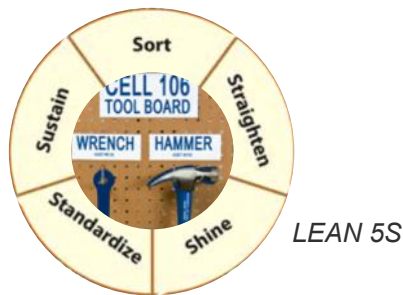
# Risk and Compliance



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## What it is?

- 整理 (せいり、Seiri)  
Risk factors are appropriately classified
- 整頓 (せいとん、Seiton)  
Decompose aggregated risk to validate risk being correctly netted
- 清掃 (せいそう、Seisou)  
Readily available of reports for risk and compliance examination
- 清潔 (せいけつ、Seiketsu)  
NMS plan for SEC rule 613 Consolidated Audit Trail
- 躰 (しつけ、Shitsuke)  
Risk measurements are applied consistently
- Take root in deciphering red flags; check mark to a well organized workplace!!



## How you may use it

To prevent:

**Setup losses:** weaken risk and compliance team's ability to oversee activities

**Breakdown losses:** regulators impose of fines and mandates to haul business (reputational risks)

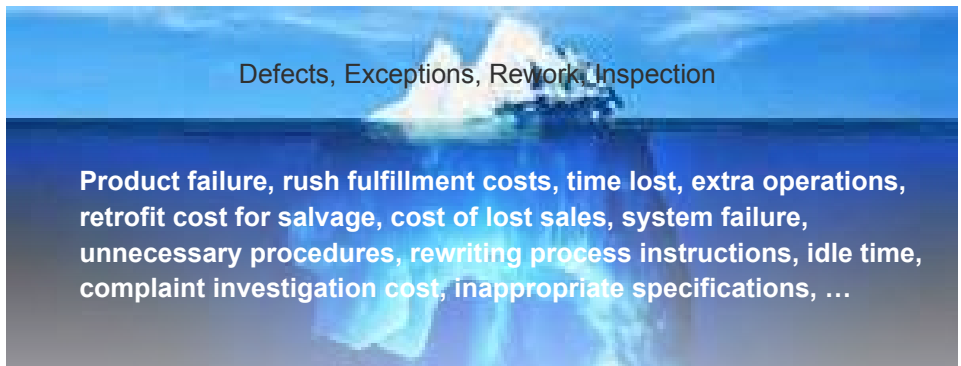
**Idling & minor stoppages:** threat of business loss if the firm does not take remediation action immediately

**Speed losses:** productivity of operations will suffer if firm does not have a well-organized workplace

**Quality losses:** troubles in executing a new product or pulling off the implementation of a new system and/or in process quality losses

## Why you should care?

*Because you are only seeing the tip of the iceberg*



## Save Money

Recoup loss of revenue / save costs due to poor quality of information (between 10-20% in average)

## Our Offerings

### Risk Analytics

- Decompose aggregated risk
- Risk factors classification
- Visualization of risk measurements

### Information Management Assessment

- 133 check points review
- Retention program development
- Business Impact Analysis
- Compliance readiness gap assessment and remediation
- Governance policy and RACI
- Support implementation of ECMS/ archival solutions

## SEC 17a-4, FINRA 3110, SAS70, ISO-27001 and more

Help you get ready for SEC 613 - consolidated audit trail, adapt to changing structures, be reflective of trading practices and scalable with big data volume.

## ContactUs

Phone: 617.237.6111

Email: [info@databoiler.com](mailto:info@databoiler.com)



**DATA BOILER**  
TECHNOLOGIES, LLC

**BIG DATA | BIG PICTURE | BIG OPPORTUNITIES**