

■ CLM ECOSYSTEM



ABOUT

We're a London-based boutique consultancy with global reach.

We focus entirely on CLM; how it works, the delivery of solutions, platform advice, operational knowledge and supporting the wider CLM ecosystem, globally.

Former financial services' leaders rather than consultants, with decades of experience across all customer segments and spanning functions including COO, strategy, technology, change delivery, sales and risk

CLIENT FOCUS

Banks and Financial Institutions

- Clear choice, RFI and RFP
- Professional Services / Delivery
- Project Governance & Oversight

Consultancies

- CLM advisory
- SME operational knowledge
- Pursuits

Technology Vendors

- Pre-Sales/Sales & Demos
- Internal Methodology
- Training
- CLM Ecosystem



"What I get when I speak to the Aurora team is experience, pragmatism and solutions. They never come across as Consultants, more like experienced colleagues or mentors."

COO
IB Middle Office, Tier 1 Bank



 **AURORA & CLM**



CLIENT FOCUS

Technology Vendors

- Pre-Sales/Sales & Demos
- Internal Methodology
- Training

- CLM Ecosystem

DETAIL

How we work

- To enable Aurora to be as effective as possible for our clients it is essential we truly understand the wider CLM landscape, the players and new-to-market functionality.

Industry-agnostic

- We primarily advise our clients based on need, known gaps and outcomes not solution

Buying Centres

- We focus primarily (but not exclusively) on the Regtech hubs in the UK, Ireland, Switzerland, Australia and the USA

Fintech and Regtech 100

- We calibrate and map the awards list against our internal criteria in relation to functionality: *Sell, Onboard, Control, Maintain, Service*

The wider Regtech community

- We run quarterly networking events across the Regtech/ CLM landscape. We also train our clients globally across a range of CLM-related topics

UK Agent

- We act as agent for a stable of cutting-edge Regtech firms in cases where their Head Office is usually outside of the UK

■ TECHNOLOGY VENDORS



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INTERNAL CRITERIA

Sell

- Sales Management
- Insider Management

Onboard

- Orchestration
- Regulatory Rules Engine
- Risk Calculations
- Legal Documentation
- Entity Data
- Distributed Ledger / Blockchain
- Account Data & SSI

Control

- KYC Profile Data & Utilities
- Regulatory Rules Engine
- Screening & Watchlists
- Entity Data
- Account Data & SSI
- ID & Verification

Maintain

- Payment Monitoring
- Regulatory Rules Engine
- Entity Data
- Account Data & SSI

Service

- Transaction Monitoring
- Trade Surveillance
- Market Abuse
- Reporting
- Entity Data
- Account Data & SSI

OUTCOMES & SOLUTIONS

For each sub-topic of our internal criteria there is a suite of functionality and solutions with which the wider Regtech community can solve.

We believe going forward the ultimate client experience arises from the correct combination of these solutions across the CLM workflow.

We today actively support a number of these solutions which is where we can add the greatest level of value with regards to leading-edge CLM solutions and platforms.

TECHNOLOGY VENDORS | CLM ECOSYSTEM

1. Aurora Ecosystem / Commercial Framework

- We have agreements in place to act as Agent for a range of Fintechs & Regtechs
- This is primarily (but not exclusively) UK coverage
- This network forms an 'outsourced' ecosystem that can be leveraged by the solution
- When we connect one of our clients successfully, the respective fee/remuneration for Aurora derives from our client and not the vendor/acquirer (i.e. iMeta).

2. Market Review

- We provide structured industry reports and internal white papers on key CLM players, insights and functionality.
- This type of work requires a robust, mutually agreed brief from our client underpinned by a structured SoW and supporting NDA.

3. Deep Dive

- We can undertake research on a specific client need or mission-critical demand
- This is a capability to search for specific solutions within our ecosystem and/or the wider CLM landscape

4. Due Diligence

- We can undertake due diligence and research into clients that directly approach the solution, providing independent scrutiny and industry comparisons to existing tools and functionality in the market to ensure the optimal outcome.

 **PROPOSAL**



FEES & PRICING

All of our services are priced by day rate of £1,300 (ex VAT). Our day rates reflects the application of our industry-sensitive IP.

Market Review

- We provide structured industry reports and internal white papers on key CLM players, insights and functionality. c.5 - 15 days
- This type of work requires a robust, mutually agreed brief from our client underpinned by a structured SoW and supporting NDA.

Deep Dive

- We can undertake research on a specific client need or mission-critical demand c.3 - 5 days
- This is a capability to search for specific solutions within our ecosystem and/or the wider CLM landscape

Due Diligence

- We can undertake due diligence and research into clients that directly approach the solution, providing independent scrutiny and industry comparisons to existing tools and functionality in the market to ensure the optimal outcome. c.3 days
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 **COMMERCIALS**

