

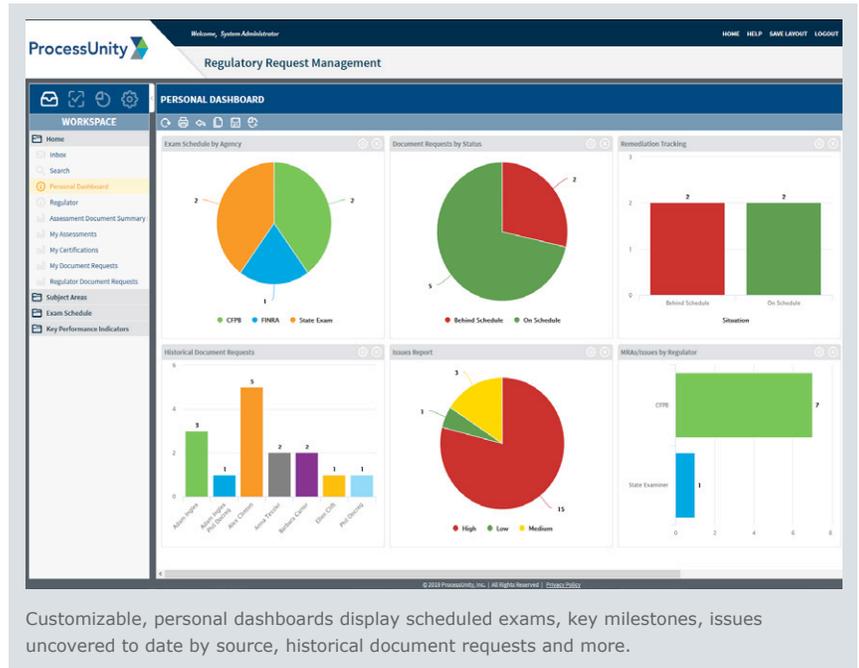
EXAM MANAGEMENT

Simplify and streamline your Exam Management process

In highly regulated industries, like financial services, responding to regulatory and audit requests places a considerable strain on most companies. To ease the burden, organizations need tools to streamline processes and improve their ability to manage regulatory exams and complete internal and external audits. With ProcessUnity Exam Management, organizations reduce their administrative burden by automating the tedious aspects of responding to regulatory and audit requests.

Automate the regulatory request management process

Responding to a regulator or auditor's document request usually requires data from multiple parties within your organization. ProcessUnity's tools simplify and automate elements of the document request process - shortening response times while reducing the stress of everyone involved. For exams and audits, ProcessUnity's Exam Management system creates the unique processes and milestones associated with the exam for progress and reporting purposes. Regardless of the type of document request, ProcessUnity allows you to collect, organize and assign requests to individuals across your organization. To increase transparency and accountability, the solution can assign due dates with automatic reminders for every type of document request.



Customizable, personal dashboards display scheduled exams, key milestones, issues uncovered to date by source, historical document requests and more.

Gain visibility and control of your internal and external projects

Users can see the document requests assigned to them by status, respond with questions and attach related documentation all within ProcessUnity. Once completed, the user requesting the documents can review and approve the documents provided or send the request back for additional documentation.

Via personal dashboards, employees with appropriate permissions can see scheduled exams, key milestones, issues uncovered to date by source, historical document requests and requests that are on or behind schedule. Dashboards also detail regulatory requests by subject area, such as loans. For each functional area of your organization, teams can store and manage documents in a library organized in a structure that makes sense to them.

Once your team completes the document requests and a user approves the documents provided, the attachments are automatically stored and archived under that exam. You can then download the files to provide them to examiners or provide direct access to the platform for examiners to review the attachments for each individual request. If issues are uncovered, your compliance team can document their findings, prioritize them and assign due dates for resolution all within the Exam Management environment.

Integrations and workflow provide opportunities for quicker results and a repeatable process

While all individual document requests can be created in the Exam Management system, you may want to bulk upload document requests associated with an exam or audit from an Excel spreadsheet. Using ProcessUnity's Excel Connector, with a single click, you can upload and create individual document requests automatically for each line item in a spreadsheet. Once these requests are uploaded, users assigned to each document request will receive a notification via their ProcessUnity inbox and their corporate email inbox so they can comply by the due date. In addition to the Excel Connector, you can also connect ProcessUnity to other platforms via an open application programming interface to help facilitate this process.

To learn more about how automating the document request process helps your team be more efficient and keep better track of requests through every step of the process, contact us at info@processunity.com.

The screenshot shows the 'Regulatory Request Management' interface. The main content is an 'EXAM TESTING SCHEDULE' table. The table has columns for Regulator Name, Compliance Test Name, Testing Team, Test Date, Month Name, and a timeline from January to August. The data is as follows:

| Regulator Name | Compliance Test Name | Testing Team | Test Date | Month Name | January | February | March | April | May | June | July | August |
|----------------|------------------------------|--------------|------------|------------|---------|----------|-------|-------|-----|------|------|--------|
| CFPB | 2012 Mortgage Origination | 2 | 2 | | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| | Consumer Reporting Process | Anna Tesler | 9/4/2019 | September | | | | | | | | |
| | Dispute Notice Investigation | Anna Tesler | 10/28/2019 | October | | | | | | | | |
| | 2018 Net Credit Review | 0 | 0 | | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| FINRA | 2019 Supervision Exam | 2 | 2 | | 0 | 0 | 0 | 0 | 1 | 1 | 0 | 0 |
| | Books and Records | Alex Clinton | 6/6/2019 | June | | | | | | | | |
| | Supervision | Albert Aster | 5/26/2019 | May | | | | | | | | |

The Exam Testing Schedule provides a view into start, end, milestone and other dates necessary to make the entire process more manageable across state, federal or internal audit requests.

The screenshot shows the 'Regulatory Request Management' interface with an 'INBOX (2)' view. It displays a list of document requests with columns for Type, Notification, Object Type, Received, and Due Date. The data is as follows:

| Type | Notification | Object Type | Received | Due Date |
|------------------|--|------------------|-------------------|----------|
| Document Request | Document Request Review - Attach Loan Estimates from Feb 18-March 1st | Document Request | 9/11/2019 7:54 PM | |
| Document Request | Document Request Reopened - Attach Organizational Charts & Process Flow Charts | Document Request | 9/11/2019 7:52 PM | |
| Document Request | Document Request Assignment - Board Minutes & Annual Reports | Document Request | 9/11/2019 7:48 PM | |
| Document Request | Document Request Response - Mortgage Orig Policy & Procedure Request | Document Request | 9/6/2017 10:29 AM | |
| Document Request | Document Request Assignment - Mortgage Orig Policy & Procedure Request | Document Request | 9/6/2017 10:24 AM | |
| Document Request | Document Request Fulfillment - Attach Organizational Charts & Process Flow Charts | Document Request | 9/5/2017 4:07 PM | |
| Document Request | Document Request Review Cancelled - Attach Organizational Charts & Process Flow Charts | Document Request | 9/5/2017 4:07 PM | |

Users can see document requests assigned to them by status, respond with questions and attach related documentation all within ProcessUnity.

