

# THE CLM EXPERTS



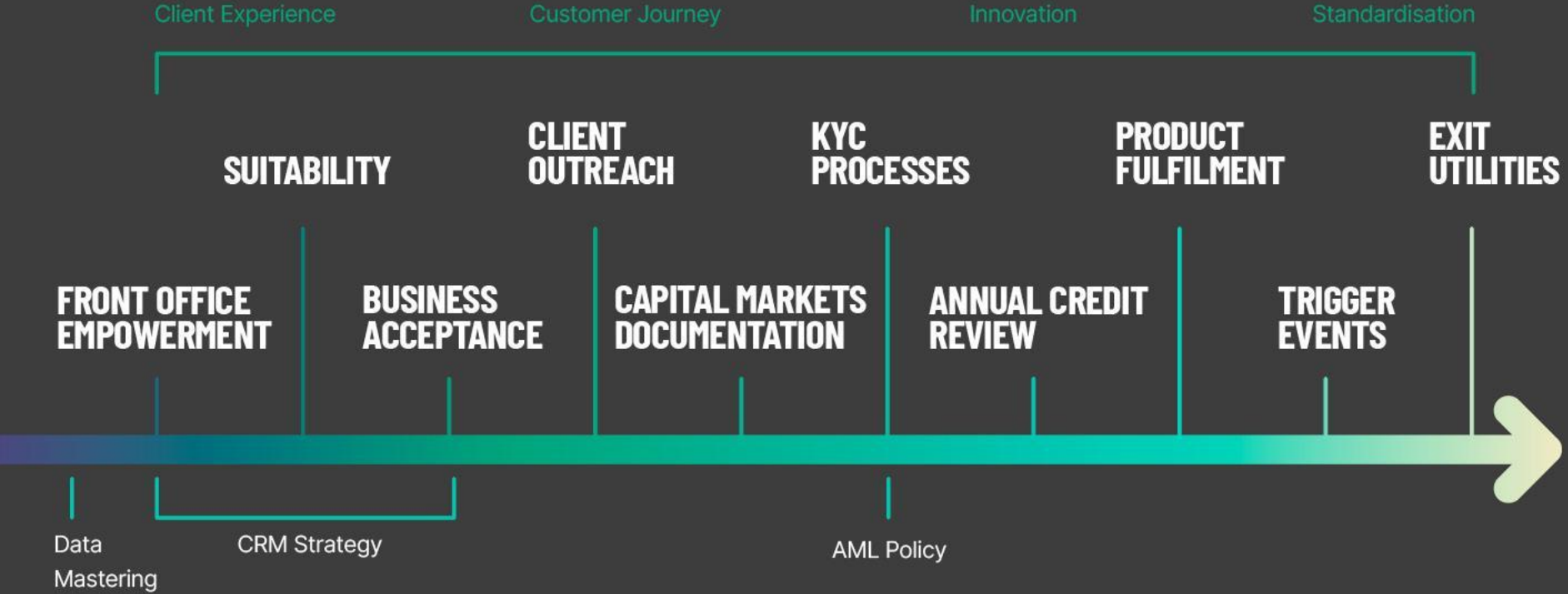
# ROUND PEGS ROUND HOLES

Aurora is a London-based consultancy with specialist knowledge in banking operations, middle office enablement, and Client Lifecycle Management technology (CLM).

We help financial institutions, consultancies and software companies deliver real change.



# HOW DOES CLM FIT IN YOUR WORLD?



# STRAIGHT SPEAKING COLOURFUL THINKING



## HONESTY

Aurora always offer you the truth. We tell you what you need to hear, not always what you want to hear. This is critical to delivering the best outcome for our clients.

## INTEGRITY

Aurora always act with the best intentions for our clients. Bound by shared values and principles, we build longstanding, trusting relationships with our clients.

## DIVERSITY

Aurora bring diversity in who we are and how we think. We challenge the norm through critical and creative thinking to make lasting positive change.

## CREATIVITY

Aurora's open, diverse and honest culture allows employees to thrive. We encourage freedom to express creativity, domain knowledge, and problem-solving ability

## WISDOM

We're experts across client onboarding. From client initiations to exits, KYC landscape to enabling sales, through to your CRM solution, we get it.

*THIS IS WHAT  
MAKES US  
DIFFERENT*

# YOUR EXPECTATIONS

# EXCEEDING THEM

1

## BANKING EXPERTS

The Aurora team bring deep banking and transformation insight from decades of real-life experience.

2

## DOMAIN KNOWLEDGE

We know what's important and how a complex CLM project should be sequenced and executed.

3

## PROVEN DELIVERY

We bring structure and governance to projects to ensure timely, seamless and smooth delivery.

4

## CLM SPECIALISTS

Aurora are the CLM Experts. We bring deep specialism and expertise acquired over years of working with AML policy, process and technology.

5

## REAL-LIFE EXPERIENCE

Our key consultants are all ex-financial services, having led major client onboarding & KYC, CLM and wider transformation projects within banks.

6

## CUSTOMER SUCCESS

We've developed a standard way of implementing your solution, leveraging our proven frameworks to maximise delivery efficiency & success.

# JOINED UP SERVICES

TRANSFORMING  
FINANCIAL  
INSTITUTIONS

1

2

POSITIONING  
REGTECH  
SOLUTIONS

# TRANSFORMING FINANCIAL INSTITUTIONS



AURORA

1

## HEALTHCHECK

A rapid review of your strategy, including approach to organisation, technology & data with a focus on the components that will make your CLM delivery successful.

4

## TECHNOLOGY SELECTION

Leverage Aurora's expansive network of trusted technology partners from across the RegTech ecosystem to select the right solution for your organisation.

2

## PEOPLE, POLICY & PROCESS DESIGN

Drive the shape of your future state organisation, from people strategy and location to product process enhancements and team training.

3

## TECHNOLOGY & DATA READINESS

Prepare your organisation for the implementation of your chosen platform or managed service, reducing configuration and long delivery times.

5

## TECHNOLOGY DELIVERY

Delivery of your technology solution end-to-end, from platform configuration to integrations with data at the core of your RegTech solution.

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## DESIGNED & IMPLEMENTED

A new digital onboarding journey within the global Business Banking arena.

- Designed, ratified and delivered a model to enable rapid onboarding of business banking customers
- Directed policy change, securing sign-off from 15+ risk functions / owners

- Solved complex technology landscape challenges to deliver rapid solution
- Reduced onboarding times from days to minutes

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## STRENGTHENED & REBUILT

The Conduct and Risk Assurance framework for a Tier 1 Investment House.

- Delivered on-time and 5% under budget with full board sign-off
- Documented and created risk-identification and risk-management processes
- 5 workstreams: 22 critical activities

- Rebuilt and redrafted Global Markets Guidelines and Procedures, aligned to 22 activities, to achieve and demonstrate full regulatory compliance

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## DELIVERED

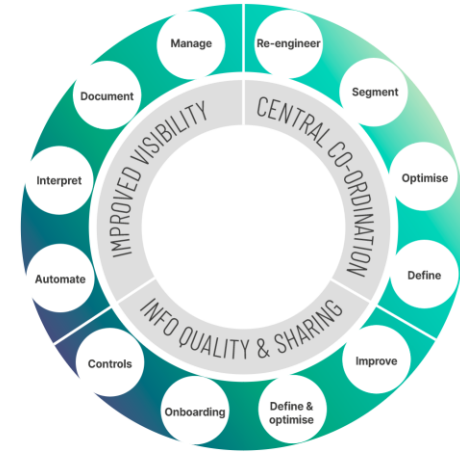
The middle office strategy of an international bank, in 35 countries.

- Selection of Fenargo for CLM workflow & KYC
- Consistent operating model across 35+ sites
- Client & regulatory data cleansed and migrated
- 5% headcount reduction



# HEALTHCHECK

*"OUR FOCUS IS TO UNCOVER WHAT YOU DON'T KNOW RATHER THAN TO REPLAY WHAT YOU DO."*



## FOR OPTIMISING

Choosing the best technology solutions in the market for your organisation and its challenges.

## FOR PLANNING

To ensure alignment of deliverables to the outcomes of the KYC programme or wider organization and embed the required governance and engagement.

## HOW DOES IT HELP?

The outcome of the Health Check will define the shape of your programme whilst articulating ways to improve and redirect your transformation journey in the short, medium and long term.

- Clarify and set scope to ensure stakeholders are on-board
- Get a rapid expert view on your current state, whether that be policy, process, tech, people, data, or a combination of these
- Gain a high-level, independent, market view of where you are with your CLM journey or operational programme of work
- Plan the plan: understand likely deliverables and timeframes, and apply an honest feasibility lens.

# PEOPLE, POLICY & PROCESS DESIGN

*“WE WILL HELP YOU TO PLAN STRATEGICALLY,  
BUT DELIVER SOLUTIONS TO TACTICAL  
PROBLEMS ALONG THE WAY.”*

## FOR UNDERSTANDING FOR PREPARING

You want to know what the industry is doing to design the right operating model and support regulatory alignment through process, policy and technology.

Set the strategy for your organisation design, know who will do what and where. Ensure your customer service is maintained while you automate and digitise your onboarding services.

## HOW DOES IT HELP?

- Build your organisation for growth, get the right people and processes in place and pave the way for technology
- Avoid the common pitfalls of a technology-first approach (spiralling costs, analysis during build etc)
- Have a clear, documented picture of your organisation and the activities needed to get to the target state
- Standardise your policy, process and data to enable effective outsourcing or nearshoring
- Understand the technology components you will need to make your target state a reality

# TECHNOLOGY & DATA READINESS

*"OUR METHODOLOGY IS DEVELOPED THROUGH EXPERIENCE OF DELIVERING NUMEROUS CLM PROJECTS. OUR THINKING HAS BEEN LEVERAGED BY SEVERAL CLM TECHNOLOGY VENDORS."*

## FOR DESIGNING

You want to ensure the new technology you've chosen fits within your strategic technology blueprint.

## FOR CONSOLIDATION

Understand which components can be replaced and which must be maintained. Your data mastering strategy across them will be key.

## HOW DOES IT HELP?

- Prepare your policies, processes and people for the implementation of new Regulatory Technology
- Align your operating model to that of your chosen technology suite, ensuring that configuration effort is minimised
- Reduce cost and delivery effort by maximising use of 'out of the box' functionality
- Understand the specific challenges and get early resolution of any potential roadblocks
- Flesh-out your data strategy, understanding how and where critical data will be held to maximise reuse across your organisation

# CLM TECHNOLOGY SELECTION

*“CLM IS NOW RECOGNIZED AS AN OPPORTUNITY TO CONNECT THE WHOLE ORGANISATION, EFFECTIVELY DRIVE REVENUE GENERATION AND MINIMISE THE COST OF DOING BUSINESS.”*

## FOR OPTIMISING

Choosing the best technology solutions in the market for your organisation and its challenges.

## FOR SUCCESS

Being able to compete with the FinTechs and challenger banks in the digital banking and investment space.

## HOW DOES IT HELP?

- Understand the Reg-Tech landscape and identify the components required to deliver your programme goals
- Select the solution(s) that's the best fit for your organisation
- Engage the right parties to make sure your requirements are clearly understood
- Reach a more granular level of detail in the selection process to avoid hidden gaps or challenges
- Find the best suite of solutions to fit your specific strategic goals

# CLM DELIVERY

*WE ARE SUCCESSFUL IN DELIVERING CONFIGURATION OF FENERGO'S FEN-X PLATFORM NOT JUST BECAUSE WE KNOW THE TECHNOLOGY BUT BECAUSE WE UNDERSTAND THE END-TO-END JOURNEY."*

## FOR IMPLEMENTING

Our approach is to ensure we configure a platform that is aligned to your broader ambitions and your overarching strategy.

## FOR AUTOMATION

We understand how to deliver your outcomes while making the best use of the technology you've invested in. Using digital platforms to enhance customer experience is front of mind.

## HOW DOES IT HELP?

- An experienced team of senior leaders and developers to configure your FEN-X platform
- Solution delivery to support integrations to existing systems if required
- Deep CLM knowledge to ensure the configuration is aligned to industry norms, including how to deliver global policy & regulations
- Experience in providing customer-focused digital solutions
- We help challenge to ensure the configuration will enable best use of industry tools and new technology
- A deep relationship with all of the key Reg-Tech providers ensure you have access to insights about the product and an immediate route for escalations

**THE RIGHT  
NOTES  
THE RIGHT  
ORDER**



# POSITIONING REGTECH SOLUTIONS



AURORA®

## 1 MARKET INSIGHT & WHITESPACE

Understand the scale of your opportunity. Enter new markets and launch new products with confidence and gain clarity on opportunities and challenges ahead.

## 4 STRATEGY & CONTENT

Enhance your sales journey, messaging, and assets. Show your product in the best light, from the initial meeting, through the demo journey with your prospects.

## 2 POSITIONING & NARRATIVE

Create impact with your target buyer. Get the insight needed to change the way you look and sound to your customers, and ultimately win more business.

## 5 TRAINING & ENABLEMENT

Empower your teams to gain credibility with customers. Leverage Aurora's extensive knowledge in financial services to enable teams to speak the language of your clients.

## 3 SALES OPTIMISATION

Enhance your sales journey, messaging, and assets. Show your product in the best light, from the initial meeting, through the demo journey.

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## RE- POSITIONED

A \$9 billion cap.  
RegTech to speak  
the language of their  
customers better

- Refreshed sales messaging aligned to the clients that buy their product
- Revised sales pitch for that all-important first meeting

- Optimised sales journey – a pivot from how to why
- A cultural shift in the way they think about their clients' needs

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## DEVELOPED

A differentiated  
messaging and  
content strategy for  
a 'RegTech100' CLM  
solution

- Developed key relationships with a new buying persona identified using Aurora's industry insights
- Revised sales pitch and engaging video demo

- An ability to talk to customers in outcomes rather than functions and features

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## DELIVERED

In-house training  
across multiple  
locations for the  
leading CLM  
platform globally

- Teams equipped with a strong understanding of overall client expectations
- An ability to apply insight and knowledge into real-life situations

- Confidence to talk to FIs using examples and convey knowledge and credibility
- An organisation empowered to sell the right solution and meet the client's needs



# MARKET INSIGHT & WHITESPACE

*“WE HELP YOU GET CLARITY ON THE SCALE OF NEW MARKET OPPORTUNITIES, THE COMPETITIVE LANDSCAPE, AND KEY FACTORS THAT WILL DRIVE YOUR STRATEGIC DECISIONS.”*

## FOR UNDERSTANDING FOR DECIDING

You want to obtain an independent view of the market you are entering, defined by target location, channel or product area, and customer segment.

We will review market size, growth, trends and external factors to give you a rounded picture of the opportunity and potential value to your organisation.

## HOW DOES IT HELP?

- Gain realistic sizing of the opportunity available for your organisation
- An ability to target key segments with confidence, backed by deep insight
- Differentiate from competitors by understanding your positioning in relation to theirs
- Identify gaps in the market and opportunities for further development in your product roadmap
- Leverage Aurora’s expertise in financial services regulations, onboarding, KYC and AML, to get real industry insights to create distance between you and the competition

# POSITIONING & NARRATIVE

*"OUR FRAMEWORKS AND MARKET INSIGHTS HAVE BEEN DEVELOPED WITH TECH PLATFORMS RANGING FROM START-UPS TO MULTI-BILLION DOLLAR ORGANISATIONS."*

## FOR SUCCESS

Aurora gives you the insight to change the way you look and sound to your customers, enabling you to win more business.

## FOR ENGAGEMENT

Create impact with your target audience by answering their unmet needs and speaking in terminology they understand.

## HOW DOES IT HELP?

- Win more business by answering the problem statements of key decision-makers within your target client organisations
- Make your sales pitch more customer-centric and increase your chances of success
- Convert more sales by gaining advantages over your competition during the sales journey
- Utilise new messaging to increase engagement with your target audience online
- Provides you with use cases, wow messaging, discovery questions and keywords all packed into an internal messaging guide to upskill your sales organisation

# SALES OPTIMISATION

*"WE GIVE YOUR SALES TEAMS THE TOOLS THEY NEED TO GROW YOUR BUSINESS, WHETHER THAT'S IN A NEW SEGMENT, FOR THE LAUNCH OF A NEW PRODUCT, OR IN AN EXISTING AREA THAT NEEDS A BOOST."*

## FOR EMPOWERING

Give your sales teams the tools they need stand out from the crowd when pitching to target customers.

## FOR IMPACT

Your sales pitch and demos are not resonating with your customers as you hoped and you need to elevate the messaging, visual impact, and delivery.

## HOW DOES IT HELP?

- Get a set of visual and written assets you can rely on to resonate with your target audience
- Impress the people you are pitching to, show them the power of your solution, and show how you help them achieve their goals
- Ensure your sales and demo messages are effective and consistent across your organisation to maximise sales and eliminate unpredictability
- Help your sales teams speak in outcomes as well as technical language, giving them the ability to adjust their messaging to effectively target the personas in the room

# STRATEGY & CONTENT

*“OUR DIGITAL DESIGN AND MARKETING EXPERTS COME TOGETHER WITH OUR PROJECT MANAGERS TO ENSURE SCHEDULES ARE ON TIME, CUSTOMERS REMAIN ENGAGED, AND YOUR MARKETING ENGINE IS ALWAYS TICKING.”*

## FOR OPTIMISING

When you want more people to know about your product, drive engagement and communicate with your target audience online.

## FOR WINNING

Build a strategy that turns your online marketing activities into warm leads, growing the sales pipeline, and improving marketing ROI.

## HOW DOES IT HELP?

- Get the attention of your target customer with visually-engaging, thought-provoking online content
- Get close to your target customers, open new channels for conversation, and give yourself the opportunities you need sell your solution
- Increase your online following and appeal, with regular, engaging, relevant and refreshed content
- Improve the quality of conversations with your customers by speaking in terminology they understand

# TRAINING & ENABLEMENT

*“THE FACT THAT THE TRAINERS ARE SO EXPERIENCED IN THE EXACT SUBJECT MATTER IS FANTASTIC.”*

*- REGTECH DELEGATE*

## FOR INFLUENCING

Gain credibility in discussions and negotiations with customers. Use their language, challenges, and examples to connect around their concerns and achieve win / win outcomes.

## FOR TARGETING

Gain credibility in discussions and negotiations with customers. Use their language, challenges, and examples to connect around their concerns and achieve win / win outcomes.

## HOW DOES IT HELP?

- Transfer critical Financial Services knowledge and capability held by Aurora's industry experts throughout your organisation
- Delegates gain a much deeper understanding of overall client expectations and personalities
- Upskill R&D professionals with a much clearer, contextualised view of how your solution solves the problems for financial services organisations
- Enable your teams to react quicker to change requests from the client, suggest more cost/time-effective solutions for business problems and provide contextual push back where necessary
- Empower your technical staff to talk the same language as solutions consultants and ultimately the customer

# THE CLM EXPERTS



FINDING YOU THE BEST  
SOLUTIONS