

# Empowering the nation's leading financial institutions

*to confidently outsource critical functions*



**Our independent analysis** provides trusted, unbiased insight into third-party shareholder servicing, distribution, custody, and all other major operations

## Transfer Agent Insight

Compliance and quality evaluations of transaction processing, call center, and correspondence operations

### Objective Feedback

- Objectively assess service quality
- Measure compliance and customer experience in processing, call center, and correspondence operations

### Ongoing Benchmarks

- Compare results to industry peers
- Access performance data, trending, and Delta Data client benchmarks through continuous reporting and online dashboards

### Process Improvement

- Strengthen service delivery
- Receive expert consulting on improving service quality programs, building SLAs/KPIs, and tracking results

## Intermediary Insight

Standardized audit report review of distribution partners in accordance with the ICI's FICCA framework

## Service Provider Insight

Centralized support for the critical functions of your service provider oversight activities

### Efficient & Effective Audit Report Review

- Expert review of FICCA, SOC, and any supplemental documents
- Results mapped to an 82-part framework for consistent comparisons
- Page citations & links to source documents

### Centralized Location for Intermediary Oversight

- Automated & customizable reporting by firm & specified tiers
- Ongoing benchmarking
- FINRA disciplinary history

### Upgraded Support and Industry Intelligence

- Access to Client Success Manager for consulting
- Exposure to peers and relevant industry topics through user group meetings
- Reduced solicitation with Delta Data's intermediary partnerships

### SOC Analysis Results

- Standard and expanded audit report reviews
- Focus on key findings within audit reports (i.e., auditor opinion, control objectives, exceptions and more)
- Array of reporting options for all reviews

### Complementary User Entity Controls (CUEC)

- Facilitate management of the internal operating controls associated with the services being provided
- Oversee all CUEC activities - identify controls relevant to the organization, log internal controls associated with the CUECs, assign follow-up tasks to individual users, and send notifications

### Due Diligence Questionnaires

- Upload existing cybersecurity questionnaires to Delta Data's platform or utilize Delta Data's templated questionnaire
- Leverage system tools to evaluate providers against prior-period results, streamline manual processes, combine data, and capture/record remediation notes

### SLA Performance Monitoring

- Consolidate provider SLAs into a single platform to enhance visibility and monitor key metrics
- Assign owners to tasks, track activity against due dates, and send notifications to ensure follow up is monitored and completed on time

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