

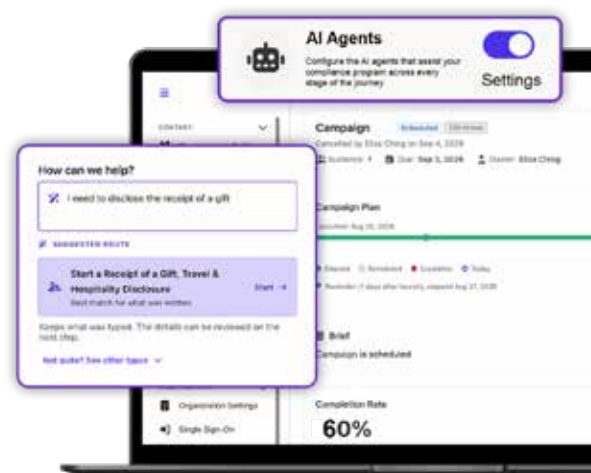
Quantum Approvals & Disclosures: A Smarter Way to Anticipate Risk

SEE MORE. KNOW SOONER. ACT FAST.

Every approval or disclosure is an opportunity to identify risk earlier, but only if compliance teams have the visibility and intelligence to act on it. Fragmented tools, disconnected workflows and manual reviews create blind spots, leaving teams chasing information and making decisions without full context. With regulations such as the UK Bribery Act 2010 raising expectations around preventing and detecting bribery and fraud, identifying risk early is more critical than ever.

Case IQ's Quantum Approvals & Disclosures solution gives compliance teams the intelligence to turn every submission into an earlier, clearer risk signal. AI agents work seamlessly throughout the experience, including *Submission Support*, which guides users to provide complete and accurate information up front, and *Risk Spotlight*, which surfaces potential risk behind every submission that requires attention for approvers. With AI at the core, configurable workflows and governance and controls, teams can route requests effectively, strengthen oversight and act on risk with confidence, while anticipating what's next.

QuantumTM
by Case IQ



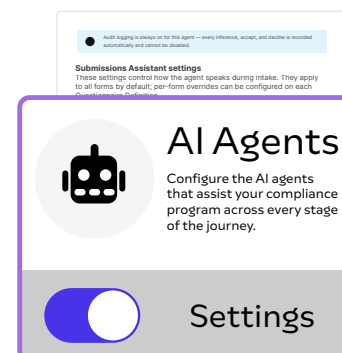
SEE RISK HIDDEN ACROSS APPROVALS & DISCLOSURES

REVEAL HIDDEN RISKS, REDUCE BLIND SPOTS AND MAINTAIN PROGRAMME OVERSIGHT

See beyond individual approvals and disclosures to uncover the bigger risk picture. By bringing together conflict-of-interest programmes, campaigns, activities, workflows, history, etc. across teams, business units and locations, Quantum Approvals & Disclosures delivers the visibility organisations need to run an effective, defensible programme in complex compliance environments shaped by evolving UK and EU regulatory expectations.

Gain more visibility with AI agents and audit trails:

- *Risk Spotlight* AI agent brings potential risk into focus before it's overlooked, helping compliance teams prioritise and act sooner.
- *Submission Support* AI agent creates a clear and frictionless experience that guides users to the right form and the required information, ensuring complete and thorough submissions from the start.
- Strengthen defensibility to withstand regulatory scrutiny and close oversight gaps with end-to-end auditability that creates a complete record of every activity and change.



KNOW WHAT'S DRIVING THE RISK

UNDERSTAND THE RISK AND CONTEXT BEHIND EVERY SUBMISSION

Move beyond collecting and tracking submissions to understanding what they reveal about risk. Building on Case IQ's AI leadership, Quantum Approvals & Disclosures puts AI at the core, with a growing library of governed AI agents that provide intelligence and support, while maintaining human oversight at every critical step.

Get better risk intelligence:

- AI assists teams in identifying gaps and incomplete answers in form responses and prompts users for specific missing context such as gift reasons, names, relationships, dates, etc.
- Automatically risk-score every approval and disclosure with AI, revealing the factors driving the issues such as financial interests, high-risk roles to third-party affiliations and prior disclosures.
- Campaign intelligence identifies recipients who haven't started or completed required approval and disclosure campaigns, helping teams close engagement gaps before deadlines or compliance issues arise.

Submission



Money mentioned

Director of vendor management discloses 6% equity stake (~\$600k) in BrightPath Consulting, a potential competitor.



Third-party

Brother employed at or affiliated with Northbridge Edison, a current vendor of the company — firing line as account manager.

ACT BEFORE RISK ESCALATES

SELF-CONFIGURATION THAT PUTS THE RIGHT CONTROLS AND ACTIONS IN PLACE

As requirements evolve, compliance teams need the flexibility to adapt their programmes without added complexity. With Case IQ's Quantum Approvals & Disclosures, teams can self-configure every aspect of their programme, from automated workflows and assignment rules to targeted campaigns with customer-branded communications and drag-and-drop forms, all backed by detailed audit logs that track changes and governance/human oversight across every AI agent.

Move from risk to response:

- Take control of approvals and disclosures with flexible, self-service configuration across every key component, including routing, escalations, AI agents and more.
- Put every approval on the right path with dynamic routing based on risk, configurable approval requirements and timely notifications that keep decisions moving.
- Streamline collaboration between submitters and approvers to reduce unnecessary reviews, follow-ups and manual coordination, speeding up resolutions.

Define Form Audience Schedule Message

Define Campaign

Give the campaign a clear name and pick what kind of disclosure or certification it is. This is what owners and recipients will see.



Form Builder



Campaigns



Workflows

Shown to recipients in the invitation.

DISCOVER QUANTUM APPROVALS & DISCLOSURES

Turn every approval and disclosure into an opportunity to see risk, understand what it means and act before it escalates.

Visit www.caseiq.com/product/approvals-disclosures or scan the QR code.

