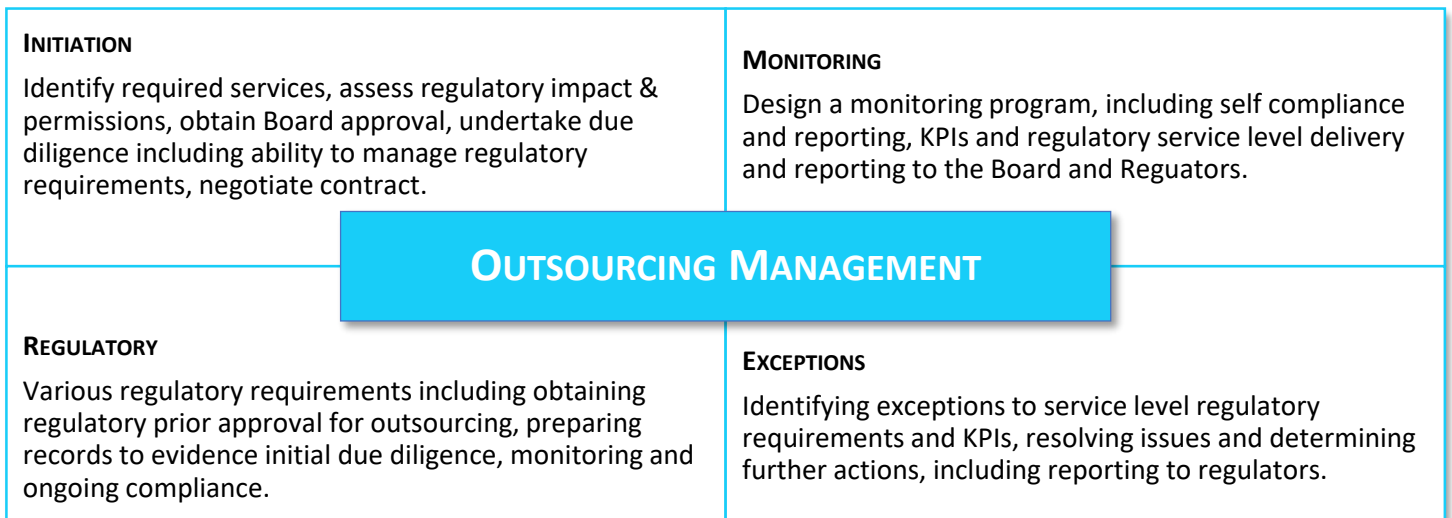


Outsourcing Management

The Maestro-Solution for Outsourcing Management consists of a collection of Maestro-Templates which are designed to manage, control and evidence each part of your Outsourcing Management control:

- **Initiation** – comprehensive due diligence on outsource service providers
- **Monitoring** – periodic verification of due diligence and performance review
- **Exceptions** – investigate service issues and report regulatory breaches
- **Regulatory** – maintain required records and make necessary reports



Fast & Flexible

Download pre-set Maestro-Templates to cover the outsourcing requirements of different regulators with an option to customize to meet your own specific requirements or build your own.

- **Download** – use Maestro-Templates prepared to meet best practice standards by Dynamic-GRC
- **Build** – prepare customised Maestro-Templates based on specific contracts signed with vendors
- **Copy & Edit** – use downloaded or self built Maestro-Templates and edit to specific requirements

Key Features

Powerful inbuilt security and internal controls to efficiently manage and evidence your GRC environment:

- **Targets** – apply control to outsourced services, service providers, regulatory rules
- **Incident Identification** – rule based or manual assessment
- **Incident Assessment** – manual classification with reason of breaches and non-breaches
- **Responses** – text, dates, numbers, single select, multi select, attach.....

Outsourcing Requirements

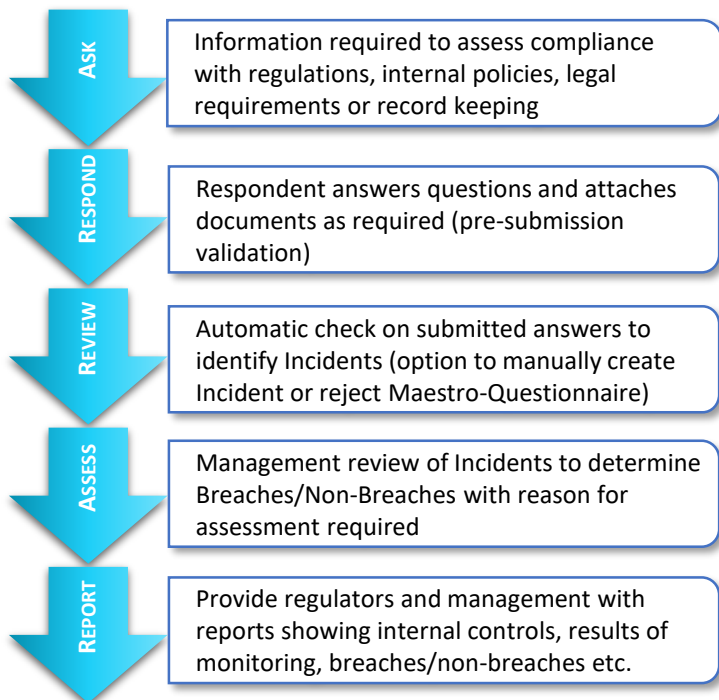
GRC-Maestro supports your outsourcing regulatory requirements across regulators.

The platform functionality is generic, specific checks and controls are built into your Maestro-Templates:

Regulatory

- EU: MiFID Directive 2004/39/EC
- IRE: UCITS Notices Annex II
- LUX: CSSF 12/552 and ALFI Guidelines
- MYS: SC Outsourcing Guidelines
- RSA: FSB Outsourcing Directive
- SGP: MAS Guidelines on Outsourcing
- UK: FCA General Outsourcing Requirements

Ask, Respond, Review, Assess and Report



MAS - Register of Outsourcing Arrangements for Target: Investment management

SUBSTITUTABILITY

O. Select the substitutability of the service providers - If not substitutable provide details in Question AA.*

Service provider substitutability
*Service provider only

P. Has an alternative service provider been identified?*

Alternate service provider has been identified
*Service provider only

OUTSOURCING CONTRACT

Q. When did the outsourced service contract start?*

Service commencement date (YYYYMMDD)

R. When was the outsourced service contract last renewed?*

Last contract renewal date (where applicable) (YYYYMMDD)
*Service provider only

S. When does the outsourced service contract expire?*

Service expiry or next contract renewal date (YYYYMMDD)
*Service provider only

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