



Best Execution Governance

“Best Execution” is core to investment managers, clients expect it, Regulators require it and the law demands it!

Our Best Execution Governance solution addresses a range of requirements:

- **Oversight** – show the Board (or a sub-committee) is actively concerned with Best Execution and receive regulator Best Execution reports
- **Venues/Brokers** – show how trading venues and brokers are selected, reviewed and updated for different asset classes and locations
- **Reporting** – show the firm’s Best Execution status and actions required/taken

Off the Shelf Solution

The Best Execution Governance solution meets regulatory requirements “off the shelf”:

- **No software** – browser based so no installation
- **No hardware** – hosted on Microsoft Azure
- **No configuration** – load your users and you are good to go

Great Value

Pre-configured to give you Best Execution Governance management at a low price.

- **Standardised** – regulatory controls built once and used across regulated firms, achieve compliance with an “off the shelf solution”
- **Multiple Regulators** – simply add “solution” for each relevant regulator on single system
- **Customise** – easy to add/edit controls/checks

Key Features

Powerful inbuilt security and internal controls to efficiently manage and evidence your Best Execution Governance:

- **Investment Managers** – log and manage your Best Execution policies by instrument type and/or location
- **Incident Management** – identify potential Best Execution failures, investigate and resolve
- **Augment** – option to add/edit controls for country/business management or regulators
- **Management Information** – extract recorded data and filter for management or regulators

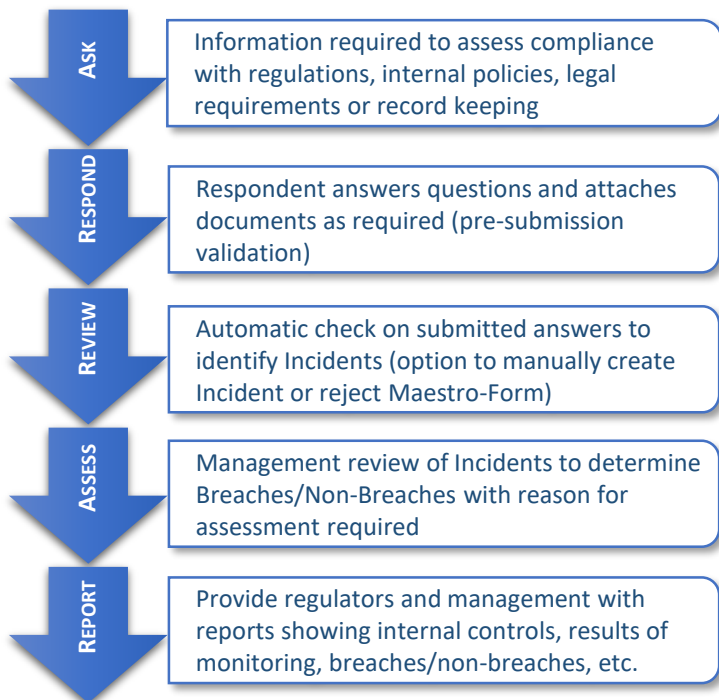
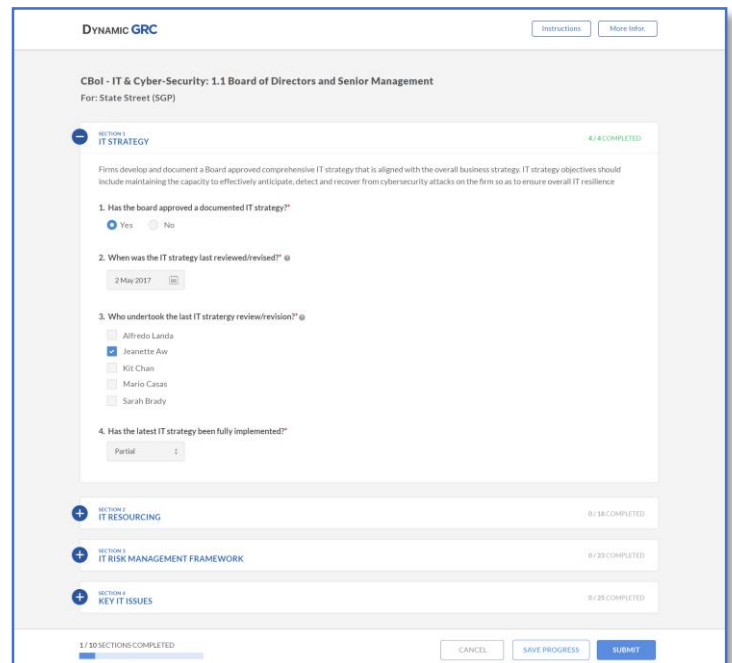
Best Execution Governance

GRC-Maestro supports your Best Execution Governance requirements across your organisation, whether you have a single regulated entity to multiple entities with different regulators.

Regulatory Requirements/Best Practice

- **Policies:** The Board (or appointed sub-committee) should sponsor a regular review of the firm's Best Execution policies to ensure they are up-to-date given that market structures change over time
- **Implementation:** Regular monitoring is required to ensure the Best Execution procedures have been fully implemented and followed
- **Resources:** There should be a periodic review of the resources available for the firm's Best Execution controls, e.g. personnel (qualifications, training, time), systems (hardware, software) and data
- **Record Keeping:** Capture all the required information to evidence Best Execution Governance, including order routing (origination, placement and execution) and execution details (instrument, trade side, broker, date/time, price, etc.)

Ask, Respond, Review, Assess, Report and Record

DYNAMIC GRC Instructions More info.

CBol - IT & Cyber-Security: 1.1 Board of Directors and Senior Management
For: State Street (SGP)

SECTION 1: IT STRATEGY 4/4 COMPLETED

Firms develop and document a Board approved comprehensive IT strategy that is aligned with the overall business strategy. IT strategy objectives should include maintaining the capacity to effectively anticipate, detect and recover from cybersecurity attacks on the firm so as to ensure overall IT resilience

1. Has the board approved a documented IT strategy? Yes No
2. When was the IT strategy last reviewed/revision? @ 2 May 2017
3. Who undertook the last IT strategy review/revision? @
 Alfredo Landa
 Jeannette Aw
 Kit Chan
 Mario Casar
 Sarah Brady
4. Has the latest IT strategy been fully implemented? Partial

SECTION 2: IT RESOURCING 0/18 COMPLETED

SECTION 3: IT RISK MANAGEMENT FRAMEWORK 0/28 COMPLETED

SECTION 4: KEY IT ISSUES 0/28 COMPLETED

1/10 SECTIONS COMPLETED CANCEL SAVE PROGRESS SUBMIT

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