Ethics & Compliance Culture Management

Regulators are leading a drive to raise ethical standards across financial services by requiring firms to implement an "Ethics & Compliance Culture".

Our Ethics & Compliance Culture solution is designed to:

- **Manage –** ensure firms proactively manage their ethics & compliance culture
- **Oversee –** give senior management a clear view of ethical issues and conduct
- **Evidence –** show how firms implement, monitoring and improve their ethics and compliance culture
- **Educate –** inform all employees of the firm's ethical & compliance standards

Off the Shelf Solution

The Ethics & Compliance Culture 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 Ethics & Compliance Culture 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 Ethics & Compliance Culture Management:

- **Regulated Firms** – log and manage your Compliance Culture at group or country level
- **Incident Management** – identify potential breaches of ethical/culture rules 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
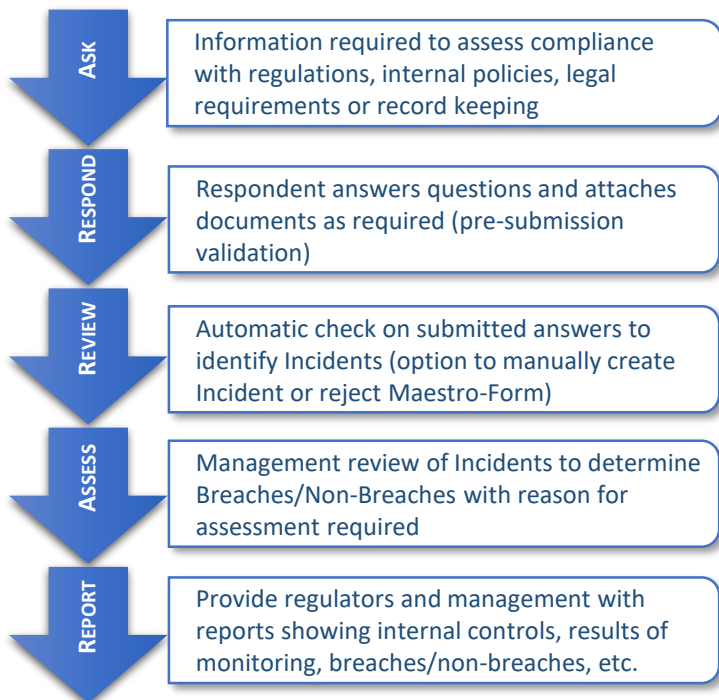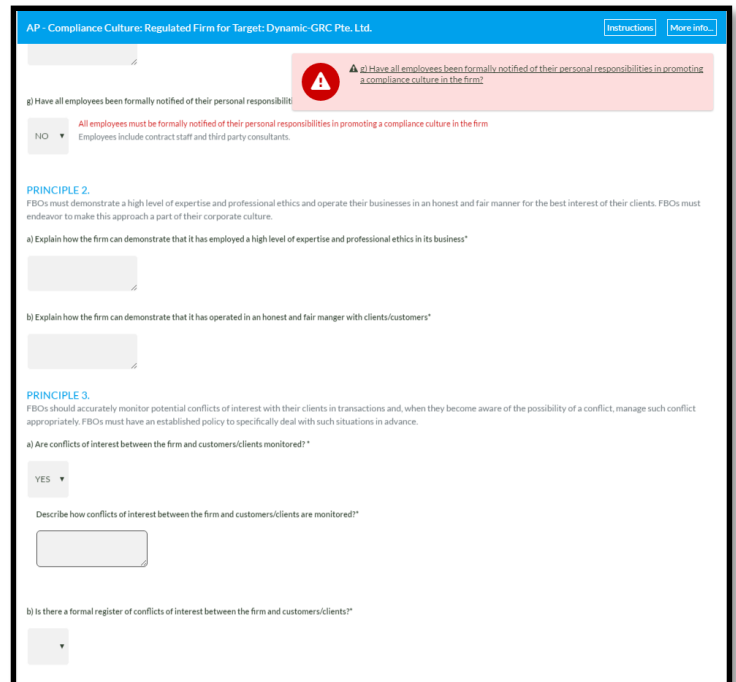
Ethics & Compliance Culture Requirements

GRC-Maestro supports your Ethics & Compliance Culture Management requirements across your organisation, whether you have a single regulated entity to multiple entities with different regulators.

Regulatory Requirements/Best Practice

- **Policies**: Senior Management should regularly review the Ethics & Compliance Culture to ensure actions are taken to improve the business ethics and employee conduct
- **Customer Focus**: Document the monitoring and actions taken to ensure customers/clients have been treated fairly (charges/commissions, complaint handling, advice/suitability, trading, etc.)
- **Conflicts of Interest**: Identify actual and potential conflicts of interest between the firm and customers/clients and between customers/clients along with the controls to safeguard them
- **Employment Practices**: Implement Ethics & Compliant Culture into employee's performance assessment, promotion, bonus calculations and disciplinary processes
- **Record keeping**: Capture information to evidence the firm's Compliance Culture management checks and controls

---

Ask, Respond, Review, Assess, Report and Record

ASK — Information required to assess compliance with regulations, internal policies, legal requirements or record keeping

RESPOND — Respondent answers questions and attaches documents as required (pre-submission validation)

REVIEW — Automatic check on submitted answers to identify Incidents (option to manually create Incident or reject Maestro-Form)

ASSESS — Management review of Incidents to determine Breaches/Non-Breaches with reason for assessment required

REPORT — Provide regulators and management with reports showing internal controls, results of monitoring, breaches/non-breaches, etc.

Contacts

Australia & New Zealand: +61 2 8006 5008

Singapore: +65 9385 7455

UK & Ireland: +44 20 3286 0800

USA: +1 617 401 8009

Web site: www.dynamic-grc.com

Email: info@dynamic-grc.com

LinkedIn:
https://www.linkedin.com/company/dynamic-grc