

# MANDATE & PROSPECTUS GOVERNANCE

Do you need assurance your investment management agreement (IMA) and fund prospectus Governance meets industry best practice?

Assess and manage your compliance:

## Risk Assessment

Undertake a formal and systematic periodic IMA/Prospectus risk assessment

## Resourcing

Assess the resources (technical and human) necessary to manage the IMA/Prospectus risk

## Monitoring

Ensure periodic monitoring of IMA/Prospectus compliance is undertaken and risks resolved

## Periodic/Exception Reporting

Provide management with an assurance of IMA/Prospectus compliance and escalate material exceptions as required

## KEY FEATURES

Download pre-set Maestro-Templates to cover the compliance monitoring of investment management agreements and fund prospectuses.



### Rule Checking

Run rules on question responses to identify and flag potential breaches



### Process Management

Use dynamic questions/responses to ensure processes are followed.



### Breach Management

Assess potential breaches and manage them to resolution.



### Reports

Maintain compliance records and produce on-line/Excel/PDF reports.



## FAST & FLEXIBLE

GRC-Maestro gives you “fast” compliance because it is on-line (just log into your account).

GRC-Maestro is “flexible” because you can use Maestro-Templates to suit your requirements:

- **Standard**

Use standard Maestro-Templates covering laws, regulations and industry best practice.

- **Customise**

Copy existing maestro-Templates and customise for your own requirements.

- **Unique**

Build Maestro-Templates based on your own policies, contracts and Service Level Agreements.

## STATUTORY, REGULATORY, POLICIES AND CONTRACTS/SLAs

GRC-Maestro supports your client contract management requirements across your organisation. The platform has powerful compliance monitoring and breach identification/management built in. Customised checks, controls and record keeping are built into your Maestro-Templates.

REGULATORY							
<b>AUS</b> 	<b>EU</b> 	<b>IRE</b> 	<b>LUX</b> 	<b>MYS</b> 	<b>SGP</b> 	<b>UK</b> 	
Australian Securities & Investments Commission	European Securities & Markets Authority	Central Bank of Ireland	Commission de Surveillance du Secteur Financier	Securities Commission	Monetary Authority of Singapore	Financial Conduct Authority	

## 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.

**GRC-MAESTRO**


**Employee Compliance Culture Attestation**  
 Sent by: JP Morgan AM Singapore  
 Regarding: Fleming Fund Luxembourg LLP  
 Respondent: apay@grc-systems.com

**COMPLIANCE CULTURE PRINCIPLES**

1. Have you and will you continue to conduct yourself with integrity in your employment?  
 Yes  No
2. Are you responsible for managing client assets?\*
3. Who undertook the last IT strategy review/revision?
  - Alfredo Landa
  - Jeanette Aw
  - Kit Chan
  - Mario Casas
  - Sarah Brady
4. Select the principal regulator authorising/ licensing/regulating this firm?\*

## CONTACTS

+61 2 8006 5008 (AUS & NZL)  
 +65 9385 7455 (SGP)  
 +44 20 3286 0800 (GBR & IRL)  
 +1 617 401 8009 (USA)

[www.dynamic-grc.com](http://www.dynamic-grc.com)   
[info@dynamic-grc.com](mailto:info@dynamic-grc.com)   
<https://www.linkedin.com/company/dynamic-grc>   
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