

# ANTI-MONEY LAUNDERING COMPLIANCE

With Regulators under massive pressure to up their AML enforcement regulated firms are having to evidence their whole AML regime.

Assess and manage your AML compliance:

## Risk Assessment

Undertake a formal and systematic review of your AML risks.

## Resourcing

Assess the resources (technical, human and data) necessary to manage your identified AML Risks.

## Monitoring

Periodically test the checks and controls implemented to manage your AML Risks.

## Periodic/Exception Reporting

Provide regulators with assurance that the AML procedures are effective at addressing the firm's AML Risks.

Flag exceptions and ensure they are resolved

## 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.

- **Copy & Edit**

Copy existing Maestro-Templates and edit for your own requirements.

- **Custom Built**

Build Maestro-Templates based on your specific operational requirements.

## STATUTORY, REGULATORY AND LAW ENFORCEMENT

GRC-Maestro supports the statutory legal requirements for AML in your jurisdiction as well as regulatory rules and internal management process/controls.

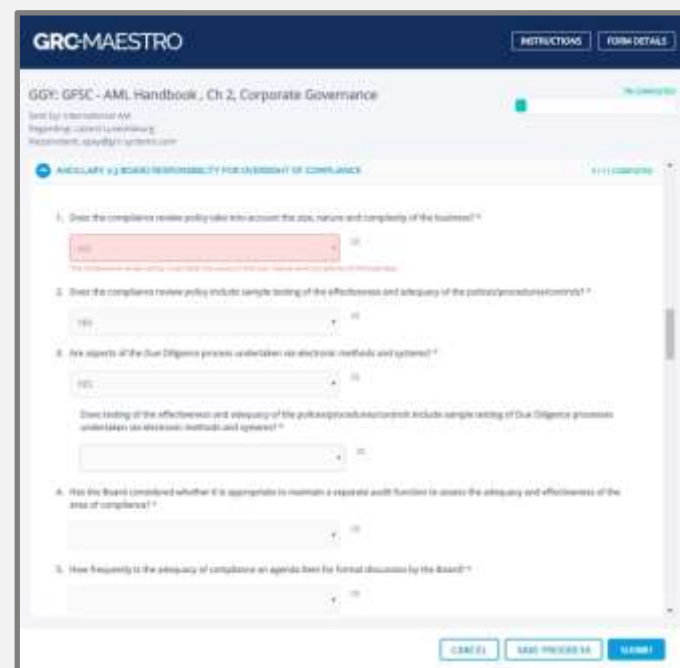
The platform has powerful compliance monitoring and breach identification/management built in.

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

<b>ASK</b>	Information required to assess compliance with regulations, internal policies, legal requirements or record keeping
<b>RESPOND</b>	Respondent answers questions and attaches documents as required (pre-submission validation)
<b>REVIEW</b>	Automatic check on submitted answers to identify Incidents (option to manually create Incident or reject Maestro-Form)
<b>ASSESS</b>	Management review of Incidents to determine Breaches/Non-Breaches with reason for assessment required
<b>REPORT</b>	Provide regulators and management with reports showing internal controls, results of monitoring, breaches/non-breaches etc.



## CONTACTS

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