# PREVENTING FINANCIAL CRIME

The UK FCA have published a detailed guide to preventing financial crime in your organisation.

Whether you are UK FCA regulated or not, this guide is the most comprehensive checklist available.

## Governance
Recommended best practice for Financial Crime Governance.

## Management Information
The Financial Crime data reported to senior management.

## Structure
How a firm organises and resources their prevention of financial crime.

## Risk Assessment
Undertake a business wide analysis of the firm's exposure to financial crime.

## Policies & Procedures
Maintain up to date policies & procedures based on the Financial Crime Risk Assessment.

## 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.

## 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.

**Breach Management**
Assess potential breaches and manage them to resolution.

**Process Management**
Use dynamic questions/responses to ensure processes are followed.

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

# STATUTORY, REGULATORY AND LAW ENFORCEMENT

GRC-Maestro supports the statutory legal requirements for preventing Financial Crime 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

| AUS | EU | IRE | LUX | MYS | SGP | UK |
|---|---|---|---|---|---|---|
| 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)
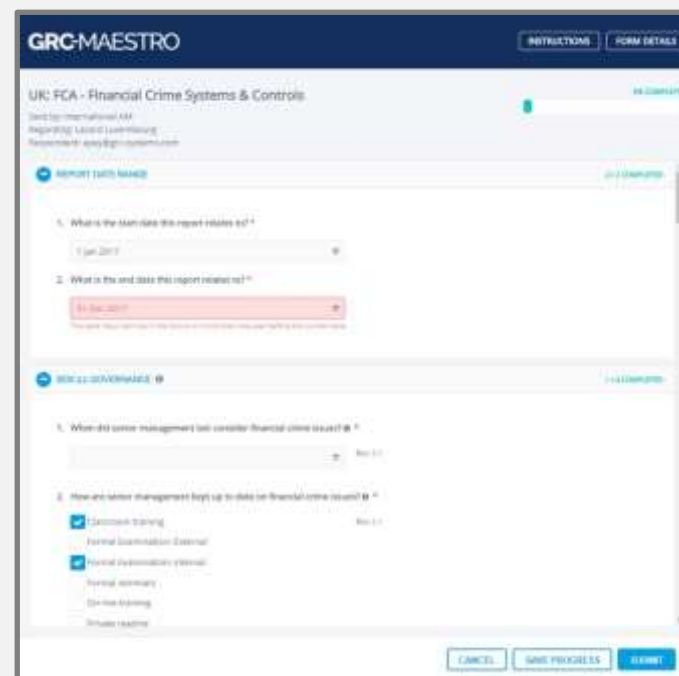
**REVIEW** — Automatic check on submitted answers to identify Incidents (option to manually create Incident or reject Maestro-Form)

**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.



## CONTACTS

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