



AML Governance

Regulators require firms to draft and implement detailed policies, procedures and controls to identify and prevent money laundering.

Our AML Governance solution addresses regulatory requirements:

- **Board Oversight** – show the Board has the governance structure to comply with regulations and prevent money laundering across their firm
- **Resourcing** – ensure the firm has sufficient AML personnel, systems and data
- **Monitoring** – formal reviews of AML governance and operations
- **Reporting** – show the firm's AML status and actions required/taken

Off the Shelf Solution

The AML 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 AML 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 AML Governance management:

- **Regulated Firms** – log and manage your AML Governance at group or country level
- **Incident Management** – identify potential breaches of AML Governance 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

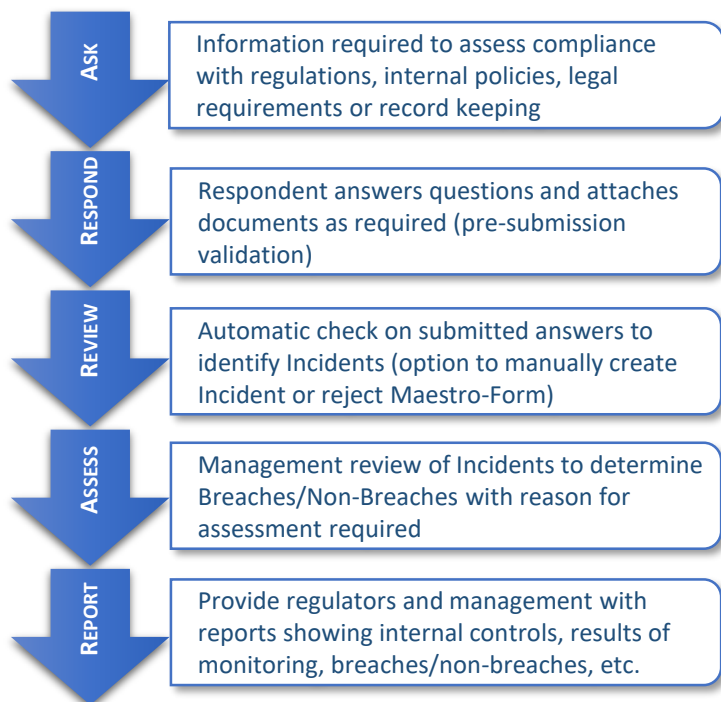
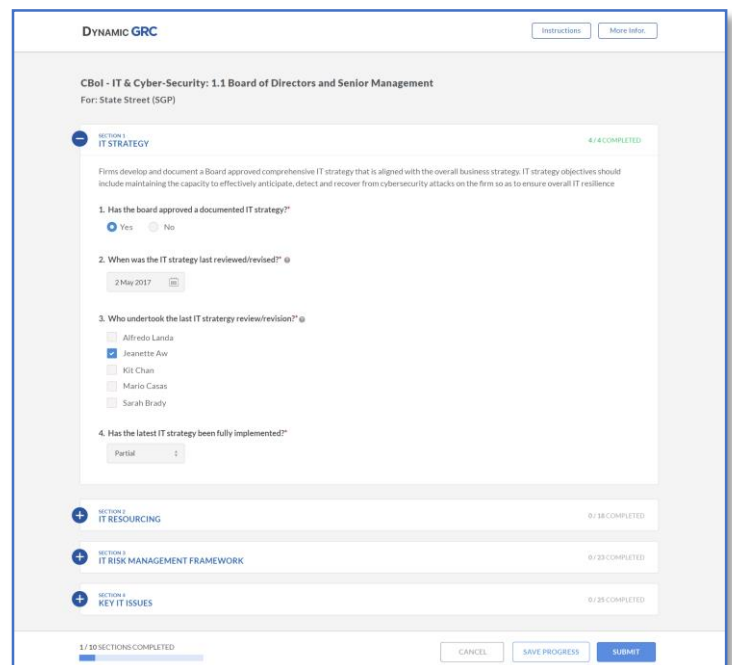
AML Governance

GRC-Maestro supports your AML 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 AML policies to ensure they are up-to-date and remain suitable for the firm's size/complexity/risk
- **Implementation:** Regular monitoring is required to ensure the AML procedures have been fully implemented and followed
- **Resources:** There should be a periodic review of the resources available for the firm's AML controls, e.g. personnel (qualifications, training, time), systems (hardware, software) and data
- **Jurisdictions:** All jurisdictions where the firm operates need to be identified, their AML requirements noted, changes to regulations identified and assurance given that the firm is fully AML compliant
- **Record Keeping:** Capture all the required information to evidence the AML Governance environment

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/revised? @ 2 May 2017

3. Who undertook the last IT strategy review/revision? @ ☐ Alfredo Landa ☒ Jeanette Aue ☐ Kili Chan ☐ Mario Casas ☐ Sarah Brady

4. Has the latest IT strategy been fully implemented? 1

SECTION 2: IT RESOURCING 8/18 COMPLETED

SECTION 3: IT RISK MANAGEMENT FRAMEWORK 9/29 COMPLETED

SECTION 4: KEY IT ISSUES 8/28 COMPLETED

1/10 SECTIONS COMPLETED

CANCEL SAVE PROGRESS SUBMIT

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