



AML Risk Evaluation

Regulators require firms to undertake a periodic AML Risk Evaluation to ensure they have identified and assessed their AML risks.

Our AML Risk Evaluation solution addresses regulatory requirements:

- **Product/Service Risk** – assess the risks posed by the firm’s products/services
- **Training Requirements** – record the training requirements assessment and fulfilment for Directors, employees and AML Officers
- **Monitoring** – record how PEPs and sanctions are identified, managed and resolved

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

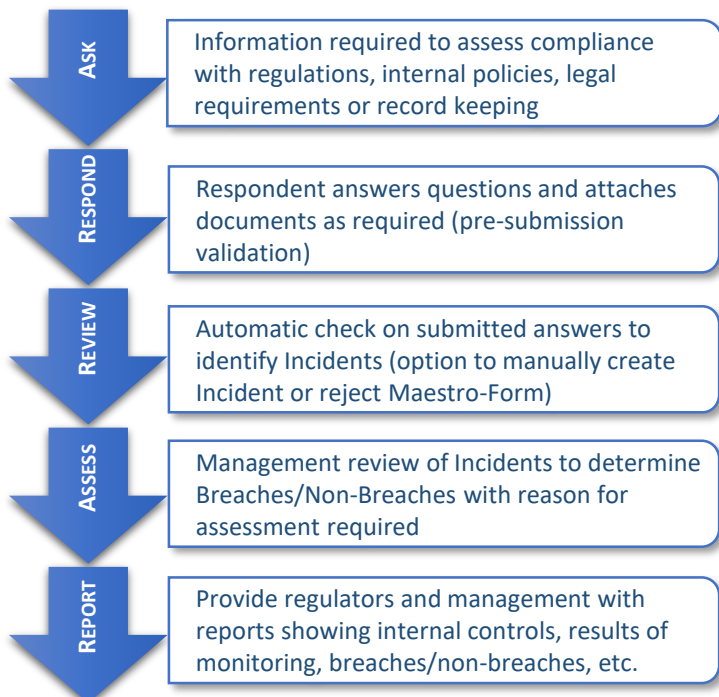
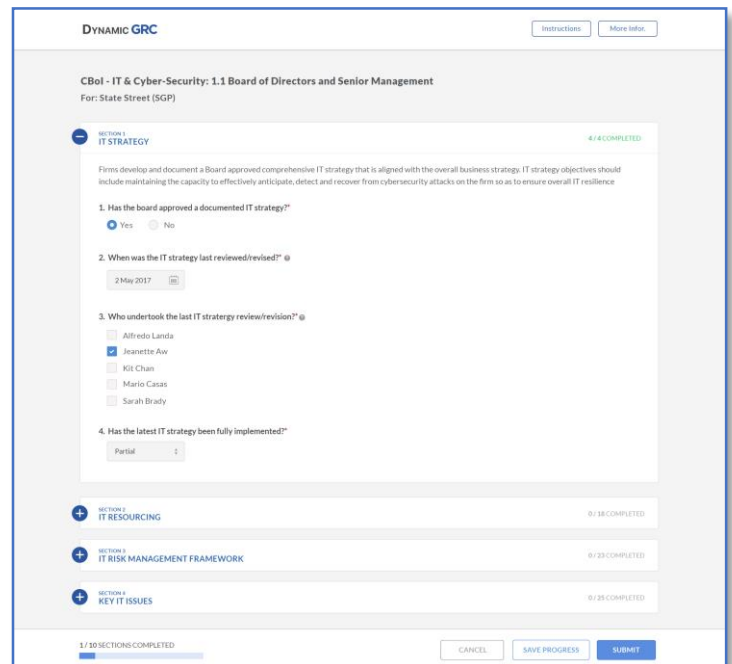
AML Risk Evaluation

GRC-Maestro supports your AML Risk Evaluation requirements across your organisation, whether you have a single regulated entity to multiple entities with different regulators.

Regulatory Requirements/Best Practice

- **AML Evaluation:** Who is undertaking the Evaluation, their qualifications and the scope.
- **Governance:** Who is responsible for the firm's AML environment, Board reporting and actions.
- **Management:** Who conducts day to day AML monitoring and manages AML issues regarding new accounts, existing accounts and suspicious transactions.
- **Policies & Procedures:** Who reviews the policies/procedures for completeness/accuracy and when they were last updated.
- **Risks:** Assess product/service, client/customer, distribution method and country risk to determine the overall firm level risk in the jurisdiction.
- **Sanctions & PEPs:** Record the firm's checks performed on sanctions and PEPs.
- **Record Keeping:** Ensure records are kept and are recoverable in accordance with regulatory rules.

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
 - Jeannette Aw
 - Kit Chan
 - Mario Casar
 - Sarah Brady
4. Has the latest IT strategy been fully implemented?
 - Partial

SECTION 2: IT RESOURCING 0/18 COMPLETED

SECTION 3: IT RISK MANAGEMENT FRAMEWORK 0/28 COMPLETED

SECTION 4: KEY IT ISSUES 0/28 COMPLETED

1/10 SECTIONS COMPLETED

CANCEL SAVE PROGRESS SUBMIT

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>