

AUTHORISED REPRESENTATIVE COMPLIANCE

Do you need to automate your Authorised Representative (AR) monitoring and ensure you have the records to prove your regulatory compliance?

Automate your compliance:

Take-on

Ensure full Due Diligence is performed on all new ARs and all exceptions are investigated and resolved.

Monitoring

Set-up periodic monitoring of AR compliance with their contract, fitness & propriety, financial stability, etc.

Exceptions/Breaches

Identify issues for resolution (customer complaints) or possible regulatory breaches, investigate, classify and resolve.

Management Reporting

Provide internal management with a periodic report of new ARs, ongoing AR monitoring and Exceptions, including actual breaches.

KEY FEATURES

Download pre-set Maestro-Templates to cover the compliance monitoring of Authorised Representatives in your regulatory jurisdiction.



Rule Checking

Run rules on question responses to identify and flag potential breaches.



Process Management

Use dynamic questions/responses to ensure processes are followed.



Incident/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

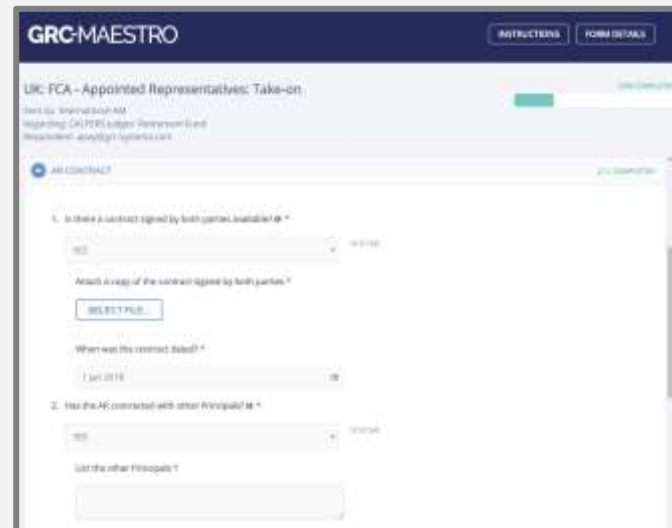
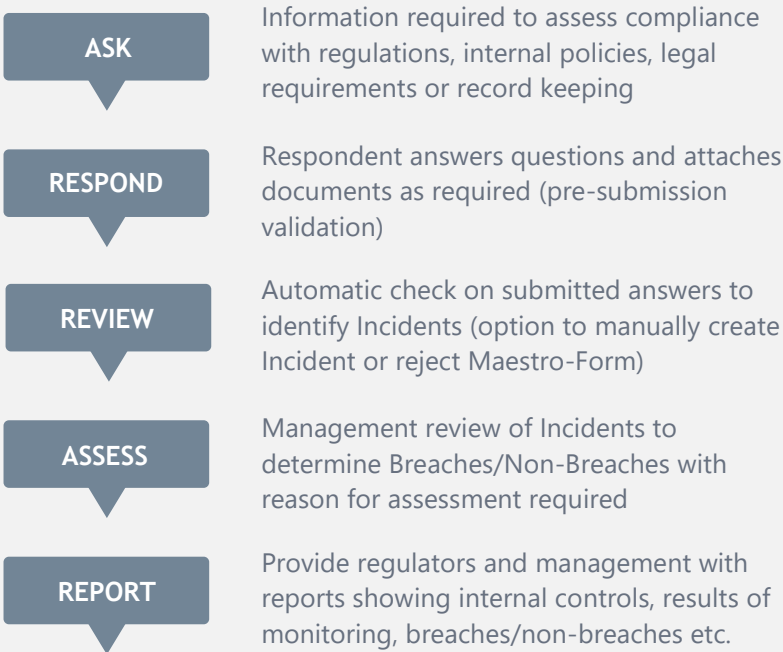
Build Maestro-Templates based on your own policies, contracts and Service Level Agreements.

STATUTORY, REGULATORY, POLICIES AND CONTRACTS/SLAs

GRC-Maestro supports your AR monitoring and 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.



ASK, RESPOND, REVIEW, ASSESS, REPORT AND RECORD



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