

MANDATE & PROSPECTUS COMPLIANCE

Do you need to automate checking compliance with your investment management agreements (IMAs) and fund prospectuses?

Automate your compliance:

Take-on

Ensure new accounts have the compliance checks/controls implemented before funding

Monitoring

Set-up periodic monitoring of compliance with the IMA/Prospectus

Exceptions

Identify potential IMA/Prospectus breaches, investigate, classify and resolve

Client reporting

Provide clients with an "Attestation of Compliance" with the IMA/Prospectus



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.

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.



Incident/Breach Management

Assess potential breaches and manage them to resolution.



Reports

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

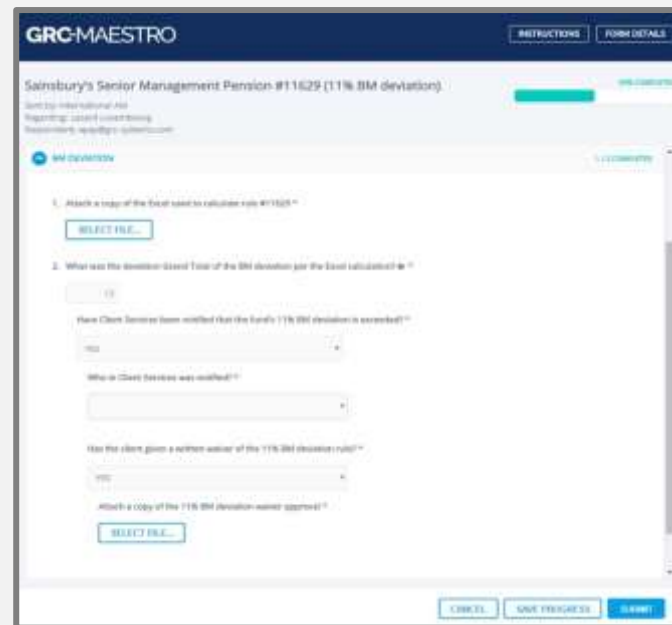
STATUTORY, REGULATORY, POLICIES AND CONTRACTS/SLAs

GRC-Maestro supports your client contract 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

- 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.



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