

AML MONITORING

Regulators require risk based periodic monitoring of each firm's AML policies and procedures.

AML Monitoring must be formally recorded and the results reported for Senior Management.

Business Scope

Identify the full scope of regulated business activities undertaken by the firm and its group entities by:

- Jurisdiction
- Business line
- Operating/Reporting lines
- Client profiles

Regulations

Identify all the regulations that apply in the jurisdictions and across the business lines undertaken.

Documentation

Formally record and assess the AML Risk of the firm so that an AML Plan can be prepared.

Periodic Update

Review and update the AML Risk Evaluation periodically or when there are material changes to regulations or the nature of the business.



FLEXIBLE & LOW COST

Flexible

GRC-Maestro uses Templates so each firm can run their AML Monitoring checks to suit their requirements:

- **Standard** - Use pre-built Templates covering laws, regulations and industry best practice
- **Copy & Edit** – Use existing Templates and edit for your own requirements
- **Customise** – Build new Templates based on your own requirements

Low Cost

GRC-Maestro has a range of price plans to give users great compliance software at a low cost.

There are no hardware requirements or software to install, just log in through any browser.

[For More Details:
Contact Us](#)

KEY FEATURES



Rule Checking: Regulatory/Internal
Run rules on question answers to flag potential breaches/internal controls.



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



Incident/Breach Management
Assess potential breaches and manage them to resolution.















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

STATUTORY, REGULATORY, POLICIES AND CONTRACTS/SLAs

GRC-Maestro supports your AML Monitoring requirements.

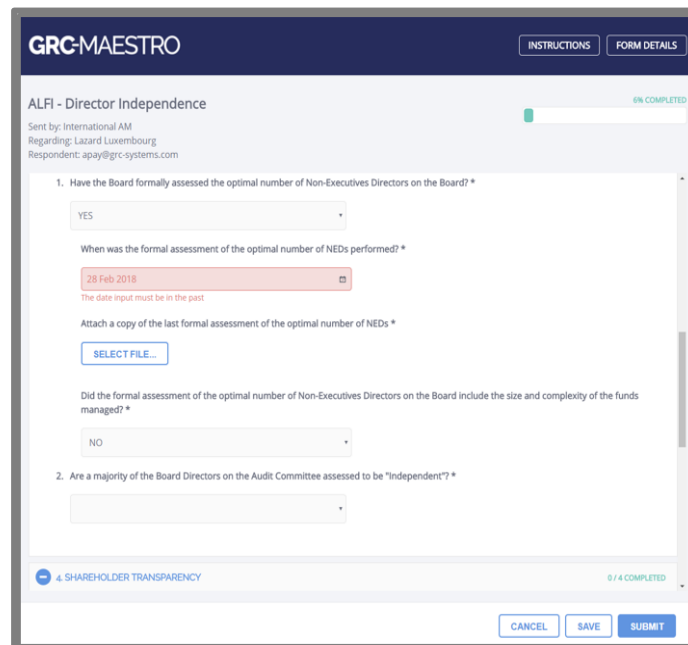
The platform has powerful compliance monitoring and breach identification/management.

Customised checks, controls and record keeping are built into your Maestro-Templates.

 AUSTRALIA Australian Security & Investment Commission	 CYPRUS Cyprus Securities and Exchange Commission	 IRELAND Central Bank of Ireland	 LUXEMBOURG Commission de Surveillance du Secteur Financier	 MALAYSIA Securities Commission Malaysia	 MALTA Malta Financial Services Authority
 SINGAPORE Monetary Authority of Singapore	 HONG KONG Securities and Futures Commission	 GUERNSEY Guernsey Financial Services Commission	 JERSEY Jersey Financial Services Commission	 UNITED KINGDOM Financial Conduct Authority	 USA Securities & Exchange Commission Financial Industry Regulatory 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.



The screenshot shows a form titled "ALFI - Director Independence" with a progress indicator of 6% completed. The form includes the following questions and input fields:

- Question 1: "Have the Board formally assessed the optimal number of Non-Executives Directors on the Board?*" with a dropdown menu set to "YES".
- Question 1 (continued): "When was the formal assessment of the optimal number of NEDs performed?*" with a date input field set to "28 Feb 2018".
- Question 1 (continued): "Attach a copy of the last formal assessment of the optimal number of NEDs*" with a "SELECT FILE..." button.
- Question 1 (continued): "Did the formal assessment of the optimal number of Non-Executives Directors on the Board include the size and complexity of the funds managed?*" with a dropdown menu set to "NO".
- Question 2: "Are a majority of the Board Directors on the Audit Committee assessed to be 'Independent'?*" with a dropdown menu.

At the bottom of the form, there is a "SHAREHOLDER TRANSPARENCY" section with a progress indicator of 0/4 completed, and buttons for "CANCEL", "SAVE", and "SUBMIT".

CONTACTS

+61 2 8006 5008 (AUS & NZL)
 +65 9385 7455 (SGP)
 +44 20 3286 0800 (GBR & IRL)
 +1 617 401 8009 (USA)

www.dynamic-grc.com
info@dynamic-grc.com
<https://www.linkedin.com/company/dynamic-grc>