

INVESTMENT MANAGEMENT AGREEMENT GOVERNANCE

Investment Managers have a legal obligation to comply with the terms of client's Investment Management Agreements (IMAs).

Proving compliance with IMAs is a legal and commercial necessity.

Senior Management

A Senior Manager has to sponsor IMA Compliance and ensure it has the correct day to day operational management.

IMA Compliance needs a formal:

- Constitution
- Risk/Requirements Assessment
- Reporting program

Control

Firms need to implement checks and controls to ensure IMA compliance along with the escalation process to investigate and resolve potential/actual IMA breaches.

Senior Management need to receive periodic and ad-hoc reports on IMA Compliance.



FLEXIBLE & LOW COST

Flexible

GRC-Maestro uses Templates, so each client can run their IMA Compliance at an IMA/firm/desk level as appropriate:

- **Standard** - Use pre-built Templates covering standard laws and regulations
- **Copy & Edit** – Use existing Templates and edit for your own requirements
- **Customise** – Build new Templates based on client specific IMAs

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

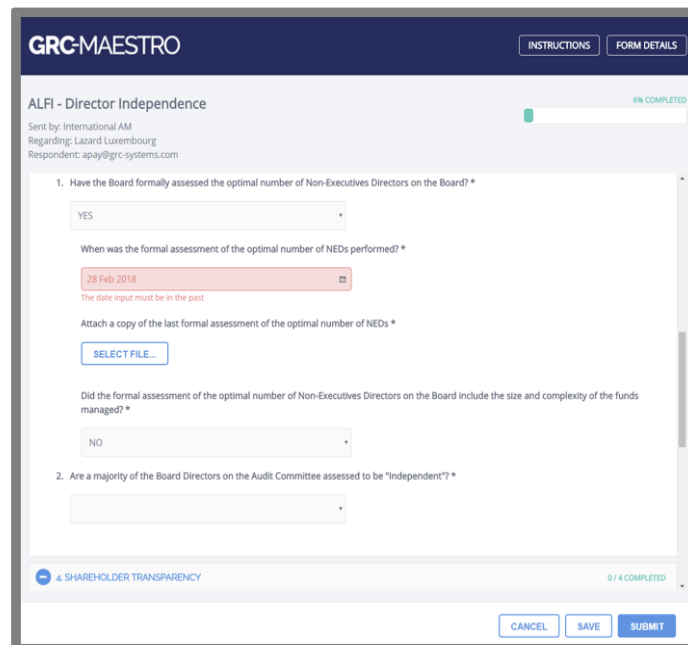
GRC-Maestro supports your IMA Governance requirements across your organisation.

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.



GRC-MAESTRO INSTRUCTIONS FORM DETAILS

ALFI - Director Independence 6% COMPLETED

Sent by: International AM
 Regarding: Lazard Luxembourg
 Respondent: apay@grc-systems.com

1. Have the Board formally assessed the optimal number of Non-Executives Directors on the Board? *

YES

When was the formal assessment of the optimal number of NEDs performed? *

28 Feb 2018
 The date input must be in the past

Attach a copy of the last formal assessment of the optimal number of NEDs *

SELECT FILE...

Did the formal assessment of the optimal number of Non-Executives Directors on the Board include the size and complexity of the funds managed? *

NO

2. Are a majority of the Board Directors on the Audit Committee assessed to be "Independent"? *

4 SHAREHOLDER TRANSPARENCY 0 / 4 COMPLETED

CANCEL SAVE SUBMIT

CONTACTS

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