

ROBO GOVERNANCE ANALYSIS, ADVICE & EXECUTION

Financial services firms are using “Bots” to automate investment analysis, advice and/or execution.

Firms have to evidence thorough controls over their Bots and protect their customers at all times.

Responsibility

The person responsible for each algorithm feeding into investment analysis, advice and/or execution has to be:

- Identified
- Qualified
- Experienced
- Acknowledge their responsibly

Control

All algorithms must be thoroughly documented and tested before, and periodically after, being approved for implementation.

There must be independent control checks for each algorithm to prevent systematic errors.

KEY FEATURES

Download pre-set Maestro-Templates to cover the compliance monitoring of Robo Analysis/Advice/Execution Governance in your regulatory jurisdiction.



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.



FLEXIBLE & LOW COST

Flexible

GRC-Maestro uses Templates so each client can run their Robo Analysis/Advice/Execution Governance to meet their own regulatory 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.


STATUTORY, REGULATORY, POLICIES AND CONTRACTS/SLAs


GRC-Maestro supports your Robo Analysis/Advice/Execution 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

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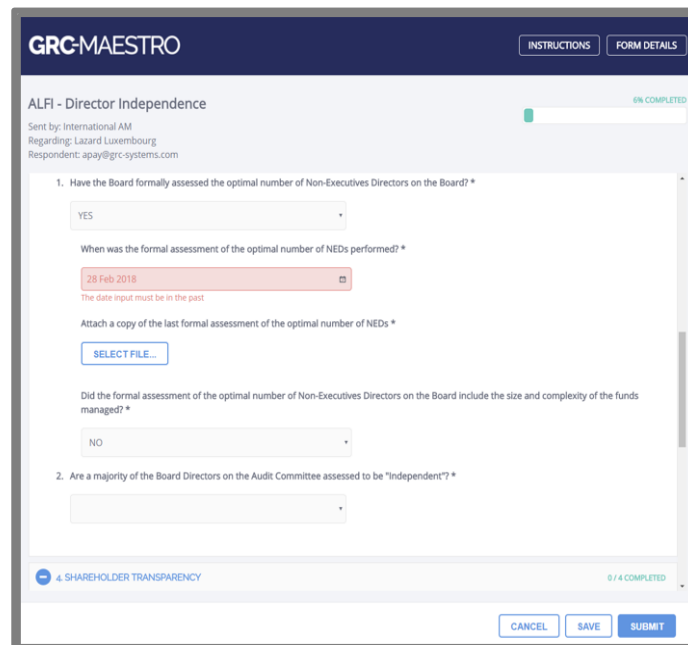
ASK Information required to assess compliance with regulations, internal policies, legal requirements or record keeping
- 

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

+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> 