GRC-MAESTRO

Regulatory/Contractual/Internal Processes and Controls: Automate, Record and Report Your Compliance

AUTOMATE CHECKS/PROCESSES

GRC-Maestro ensures manual checks and processes are followed:

✓ **Process Management**

Our Maestro-Forms lead users through all the steps necessary to complete a periodic attestation or event driven disclosure/report.

✓ **Alert/Incident Checking**

Maestro-Form inputs are automatically checked to identify issues for management investigation.

✓ **Case Management**

Issues flagged by the Alert/Incident checks can be investigated with notes/attachment added.

Cases can be classified as "breaches" for management and/or regulatory reporting.

RECORD KEEPING

The Maestro-Forms ensure information required by statutory laws, regulatory rules, contracts and internal controls is recorded and stored.

REPORTING

On-demand reports show Maestro-Forms, Issues identified, Breaches/Non-Breaches, etc.

Maestro-Forms data can be used for reporting using third party Management Information tools.

STANDARD/EDIT/CUSTOMIZE

GRC-Maestro can be as customised as clients need. Use the "Templates" as required:

Standard

Use standard Maestro-Templates covering laws, regulations and industry best practice.
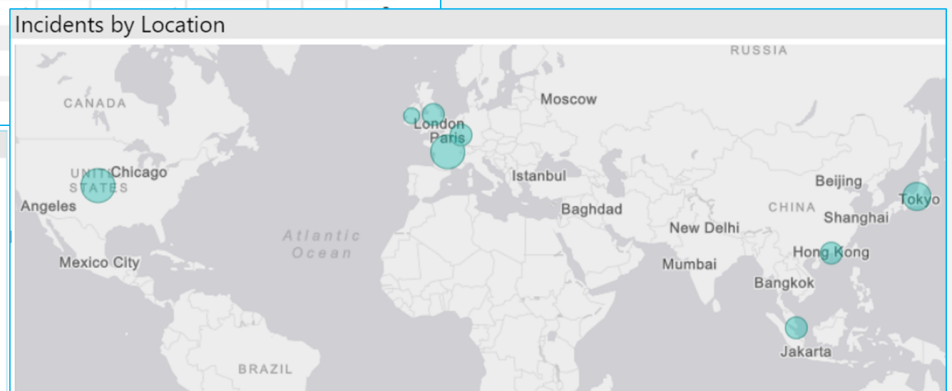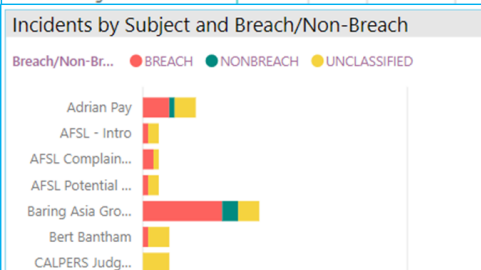
Copy & Edit

Copy existing Maestro-Templates and edit as required.

Customise

Build Maestro-Templates based on your own regulatory requirements, internal polices, client contracts or outsourced service SLAs.

Incidents by Subject and Office

Subject	Australia	France	Hong Kong	Ireland	Japan	Luxembourg	Singapore	UK	USA	Total
Adrian Pay	1	2	1			1		1	4	10
AFSL - Intro						1		1	1	3
AFSL Complaint Report			1							
AFSL Potential Breach		1	1							
Baring Asia Growth Fund		3	1							
Bert Bantham		1	2							
CALPERS Judges' Retirement Fund	1									

Incidents by Subject and Breach/Non-Breach

Breach/Non-Br...   ● BREACH   ● NONBREACH   ● UNCLASSIFIED

- Adrian Pay
- AFSL - Intro
- AFSL Complain...
- AFSL Potential ...
- Baring Asia Gro...
- Bert Bantham
- CALPERS Judg...

Incidents by Location

# STATUTORY, REGULATORY, POLICIES AND CONTRACTS/SLAs

GRC-Maestro monitors and manages compliance across your organization and supports multiple regulated entities as well as multiple regulators.

The flexibility of the Maestro-Templates makes it easy to support new laws, regulations, internal policies, contracts with clients or service providers.

REGULATORY

AUS 🇦🇺	**IRE** 🇮🇪	**LUX** 🇱🇺	**MYS** 🇲🇾	**SGP** 🇸🇬	**UK** 🇬🇧	**USA** 🇺🇸
Australian Securities & Investments Commission	Central Bank of Ireland	Commission de Surveillance du Secteur Financier	Securities Commission	Monetary Authority of Singapore	Financial Conduct Authority	CFTC FINRA SEC

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.
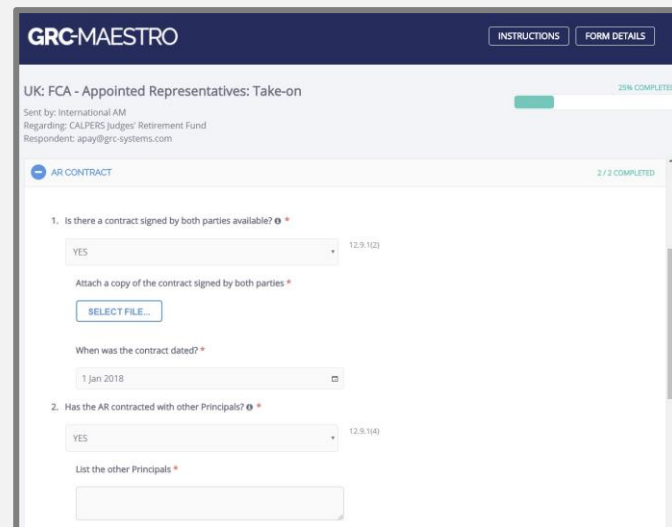
✓ Insource/Outsource Compliance
Option to use GRC-Maestro to outsource intra-group or to specialist service providers.

✓ Low Cost
Annual fee, no implementation/upgrade costs or hardware required.

✓ Integration
Use our Open API to launch Maestro-Forms from other systems or manually.

✓ Security
Fully compliant with Microsoft Azure security protocols.

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