

MANUAL DATA GOVERNANCE

Data is the foundation of IT systems; bad data is the route cause of operational inefficiency and errors.

Financial services firms rely heavily on manually augmented data and this is especially high risk, including:

Brokers/Counterparties

Review the approved broker/counterparty lists for different markets and instrument types, including commission/exposure limits.

Issuers/Securities

Review lists of prohibited or prescribed issuers/securities and ensure required updates are implemented.

Reference Data

Ensure that lists built on issuer/security data such as country lists, industry classifications and instrument type hierarchies remain up-to-date, especially where underlying data has changed.

Approved Signatories

Periodically confirm that lists of client approved signatories remain up-to-date and there have been no changes to authorities.

KEY FEATURES

Download pre-set Maestro-Templates relating to data governance across your firm, for a business line or regulatory jurisdiction.



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



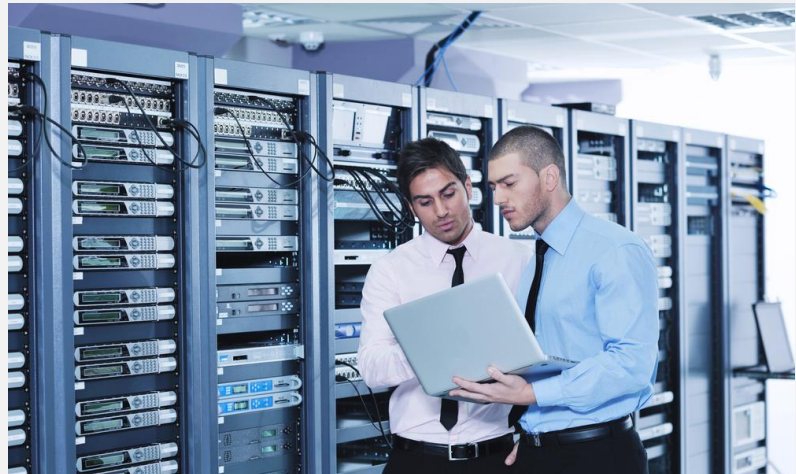
Process Management
Use dynamic questions/responses to ensure processes are followed.



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 own data governance 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](#)

STATUTORY, REGULATORY, POLICIES AND CONTRACTS/SLAs

GRC-Maestro supports data governance across your firm.

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 Australian Prudential Regulation Authority	 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, CHECK/RESOLVE 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

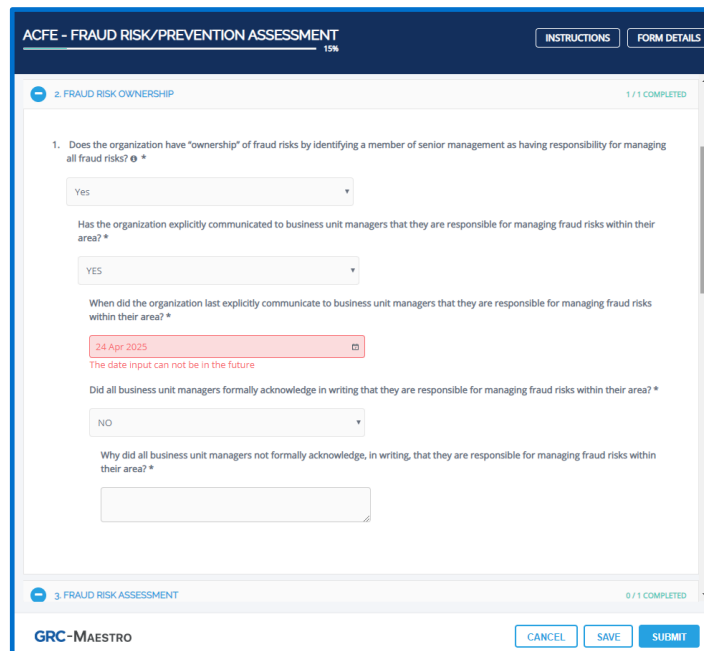
Automatic check on submitted answers to identify Incidents (option to manually create Incident or reject Maestro-Form).

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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