

MUTUAL FUND GOVERNANCE

Mutual funds are trusted to manage huge amounts of investor money and are systematically important to the wider financial markets.

Regulators are requiring mutual funds to be governed to universally high standards.

Some of the main compliance areas Boards have to address include:

- **Composition** – including the count of Independent Non-Executive Directors
- **Appointment** – ensuring Directors have the right expertise/experience before appointment
- **Training** – identifying the training needs of the Board and Directors
- **Outsourcing** – monitoring the provision of outsourced services (especially the investment manager)
- **Meetings** – ensuring that the Board agenda covers key points and that meeting minutes are kept
- **Committees** – overseeing the specialist committees created by the Board

Boards need to ensure they evidence the work they are performing to show that they are fully compliant.

KEY FEATURES



Rule Checking: 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 Corporate Ethics Management at Group/Country/Office/Division level as appropriate:

- **Standard** - Use pre-built Templates covering standard ethical issues/concerns
- **Copy & Edit** – Use existing Templates and edit for your own requirements
- **Customise** – Build new Templates based on client specific conduct 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

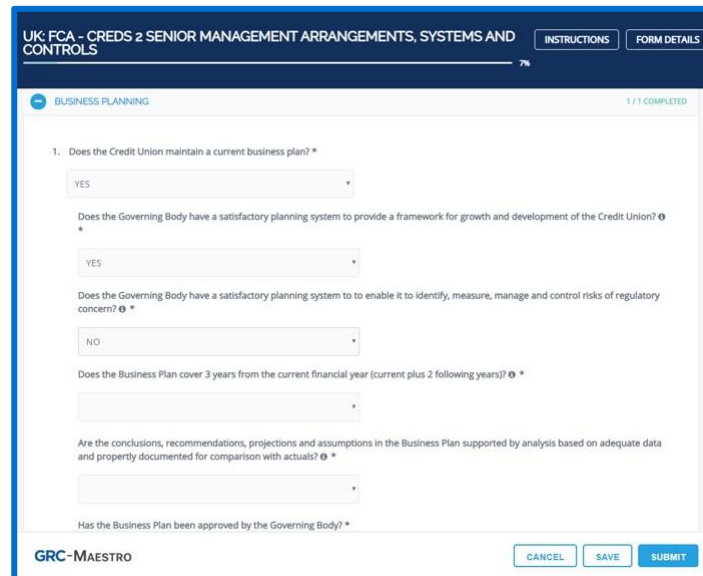
GRC-Maestro supports Mutual Funds Governance requirements across your organisation.

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 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, 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.



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