

PRODUCT DUE DILIGENCE: PRODUCER

Regulators require firms to closely control the financial products and services they sell to retail investors.

Like regulated products from other industries, the producer has to diligently design, produce and monitor their quality.

Key regulatory requirements include:

- **Product Profile** – record what the product does, who it is for and its risk.
- **Material Events** – identify, manage and resolve “threshold” events.
- **Monitoring** – periodic checks to ensure products perform as intended and controls are working.
- **Management Control** – record-keeping to show the product design and ongoing management meet regulatory standards, exceptions are flagged, investigated and resolved.

Firms need to prove that the products they created and manage are fully compliant at all times.

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.



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:

- **Pre-built** - Use standard Templates covering statutory/regulatory requirements
- **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



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 Product Due Diligence requirements for 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

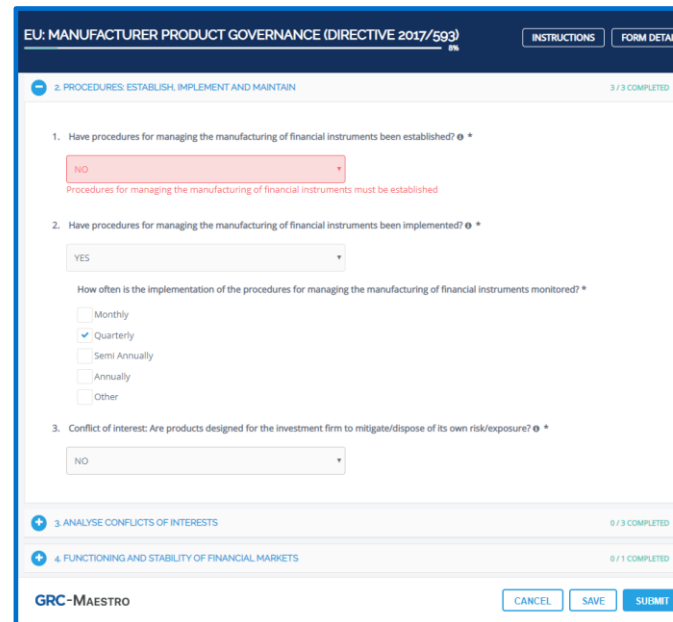
Automatic check on submitted answers to identify Incidents (option to manually create Incident or reject Maestro-Form).

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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