

# AML GOVERNANCE

Anti-Money Laundering is a global regulatory focus.

Never has it been more important for firms to prove they are fully AML compliant in all jurisdictions they operate.

## Governance

Firms must have an effective AML Governance framework to ensure their firm can evidence full AML compliance.

## Risk Evaluation

Firms must identify the AML regulations that apply in each jurisdiction before a Risk Assessment is undertaken and resourcing determined.

## Policies/Procedures

All the Policies/Procedures required to ensure the whole firm is AML Complaint must be drafted and implemented.

## Ad-Hoc Reports

Exceptional issues have to be identified and promptly escalated to management.

## Monitoring/Reporting

Periodically there must be testing and reporting on the success (or otherwise) of the AML Policies/Procedures.

## KEY FEATURES



**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 firm can run their AML Compliance 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 your AML Compliance requirements.

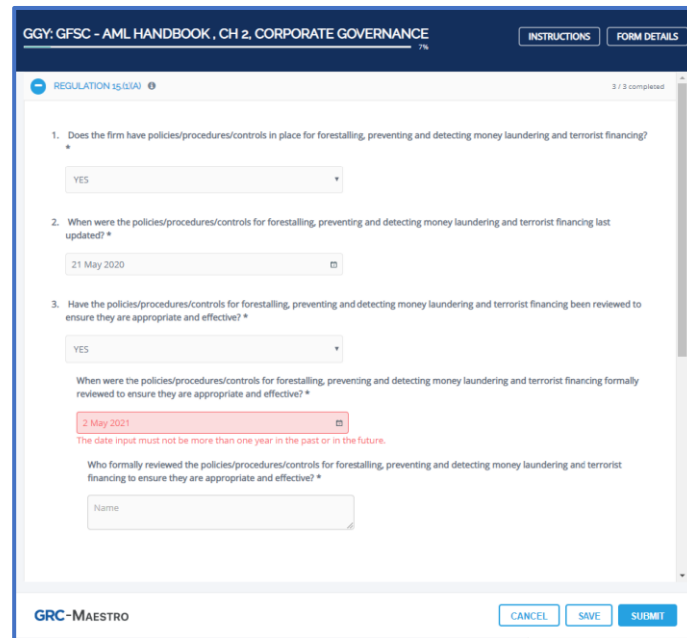
The platform has powerful compliance monitoring and breach identification/management.

Customised checks, controls and record keeping are built into your Maestro-Templates.

 <b>AUSTRALIA</b> Australian Security & Investment Commission Australian Prudential Regulation Authority	 <b>CYPRUS</b> Cyprus Securities and Exchange Commission	 <b>IRELAND</b> Central Bank of Ireland	 <b>LUXEMBOURG</b> Commission de Surveillance du Secteur Financier	 <b>MALAYSIA</b> Securities Commission Malaysia	 <b>MALTA</b> Malta Financial Services Authority
 <b>SINGAPORE</b> Monetary Authority of Singapore	 <b>HONG KONG</b> Securities and Futures Commission	 <b>GUERNSEY</b> Guernsey Financial Services Commission	 <b>JERSEY</b> Jersey Financial Services Commission	 <b>UNITED KINGDOM</b> Financial Conduct Authority	 <b>USA</b> 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.



## CONTACTS

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