

EXCHANGE & ISSUER SUSTAINABILITY

Institutional investors are buying into firms with a strong sustainability message, be it ESG or SRI. There are more profits in “social responsibly” than smokestacks!

Exchanges/Bourses are embracing sustainability because it is good for investors, quoted firms and society.

GRC-Maestro helps Exchanges/Bourses implement and evidence their sustainability drive:

a) Stakeholder Education

Implement a sustainability education program for investors, issuers and market participants.

b) Sustainability Data Disclosure

Determine sustainability data points issuers are expected/required to report to investors.

c) Engagement

Promote sustainability amongst stakeholders: investors, issuers, market intermediaries, regulators and lawmakers.

d) Promoting Sustainable Firms

Help firms with a sustainable focus raise capital.

KEY FEATURES



Rule Checking: Contractual/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 Regulator/Regulatee Compliance at a group, firm or listed entity level as appropriate:

- **Standard** - Use pre-built Templates covering standard laws and regulations
- **Copy & Edit** – Use existing Templates and edit for your own requirements
- **Customise** – Build new Templates based on client specific IMAs

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 helps ensure your exchange/bourse ESG/SRI program is comprehensively implemented and provide assurance that your firm's legal and regulatory risks are adequately addressed.

The platform has powerful compliance monitoring and breach identification/management. Customised checks, controls and record keeping are built into your Maestro-Templates.

 AUSTRALIA Australian Charities and Not-for-Profits Commission	 CYPRUS Commission for Voluntary & Non-Government Organizations	 IRELAND An Rialálai Carthanas	 Canada Charites Directorate	 MALAYSIA Charity Commission (pending)	 MALTA Commissioner for Voluntary Organisations
 SINGAPORE Charities Directorate	 NEW ZEALAND Charities Service	 GUERNSEY Association of Guernsey Charities	 JERSEY Jersey Charity Commission & Register of Charities	 UNITED KINGDOM The Charity Commission	 Isle of Man HM Attorney General

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

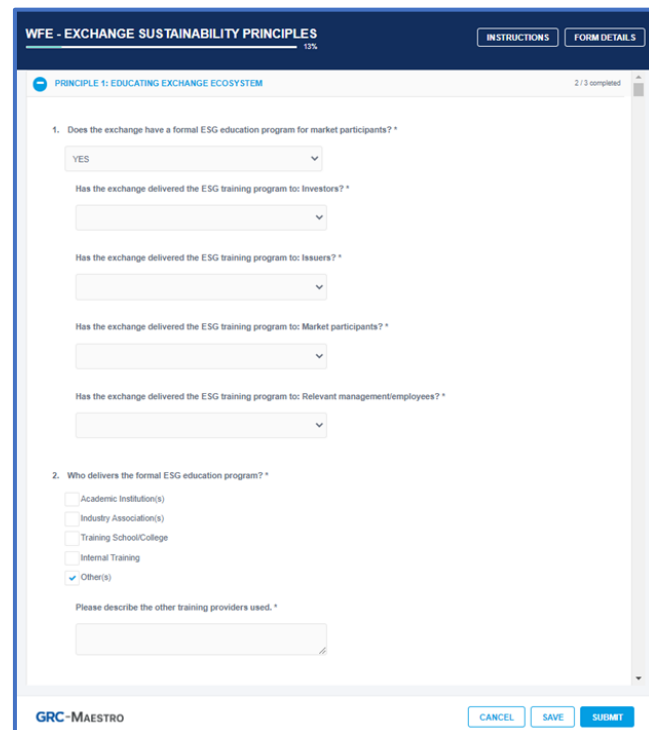
Automatic check on submitted answers to identify Incidents (option to manually create Incident or reject Maestro-Form)

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.



The screenshot displays a web form titled "WFE - EXCHANGE SUSTAINABILITY PRINCIPLES" with a progress indicator of 13%. The form is for "PRINCIPLE 1: EDUCATING EXCHANGE ECOSYSTEM" and is 2/3 completed. It contains the following questions:

- Does the exchange have a formal ESG education program for market participants? *
 - YES (selected)
 - Has the exchange delivered the ESG training program to: Investors? * (dropdown)
 - Has the exchange delivered the ESG training program to: Issuers? * (dropdown)
 - Has the exchange delivered the ESG training program to: Market participants? * (dropdown)
 - Has the exchange delivered the ESG training program to: Relevant management/employees? * (dropdown)
- Who delivers the formal ESG education program? *
 - Academic Institution(s)
 - Industry Association(s)
 - Training School/College
 - Internal Training
 - Other(s)

Please describe the other training providers used. *

At the bottom, there are "CANCEL", "SAVE", and "SUBMIT" buttons, and the text "GRC-MAESTRO" is visible.

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