

EXCHANGE/BOURSE COMPLIANCE

Exchanges/bourses occupy a unique role in financial services.

Until recently, many bourses were owned by the trading brokers and (self) regulated market conduct.

Currently, most bourses have to comply with statutory legislation and their national regulatory rules.

Bourses can use GRC-Maestro to monitor, manage and report on multiple compliance requirements:

a) Statutory/Regulatory

Ensure the bourse has implemented and can evidence compliance with statutory laws and regulatory rules.

b) Brokers/Traders

Monitor compliance with bourse trading rules and market conduct requirements, including: Market abuse, sponsored/direct client access, algorithmic trading, transaction monitoring, propriety v client trade identification and order of precedence, etc..

c) Listed Entities

Ensure firms are compliant with listing rules, including reporting/disclosures and governance.



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](#)

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.

STATUTORY, REGULATORY, POLICIES AND CONTRACTS/SLAs

GRC-Maestro helps ensure your organization's Compliance 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

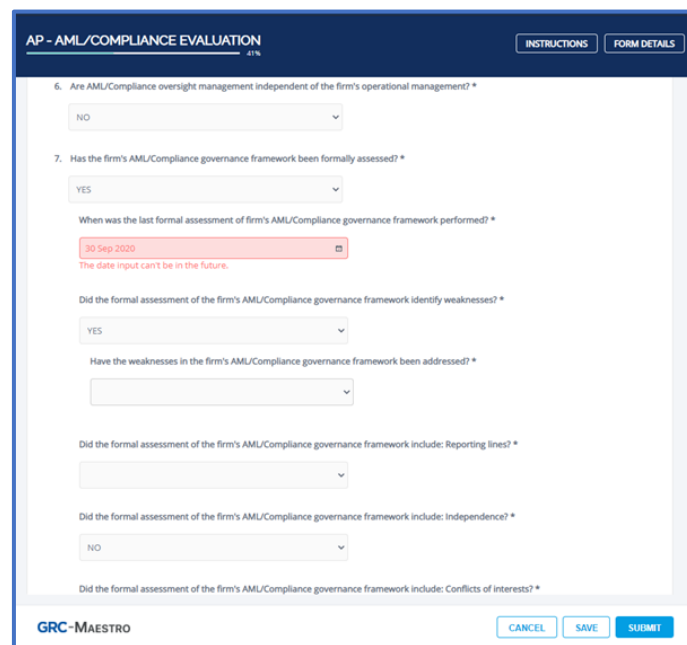
Automatic check on submitted answers to identify Incidents (option to manually create Incident or reject Maestro-Form)

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.



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