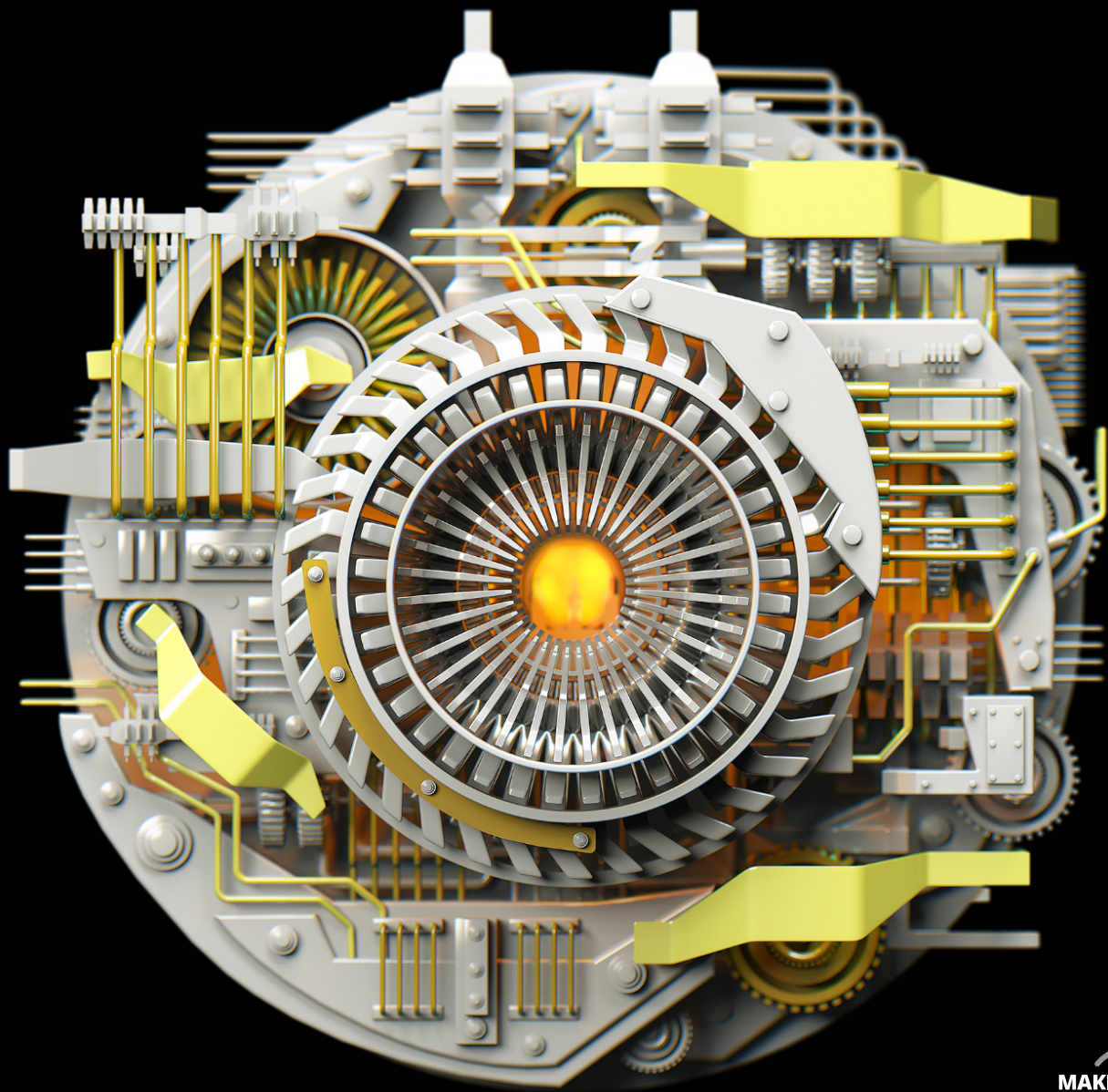


Deloitte.

SmartComply

A digital compliance
solution



MAKING AN
IMPACT THAT
MATTERS
Since 1645

Introduction

SmartComply is **an innovative digital experience that allows our clients to identify, assess, document and monitor their compliance risk profile with an easy-to-use, remotely accessible platform.** The preliminary risk assessment service enables organizations to implement and maintain **a true risk-based compliance control framework.**

The highly regulated financial market is constantly challenging our clients' compliance functions to

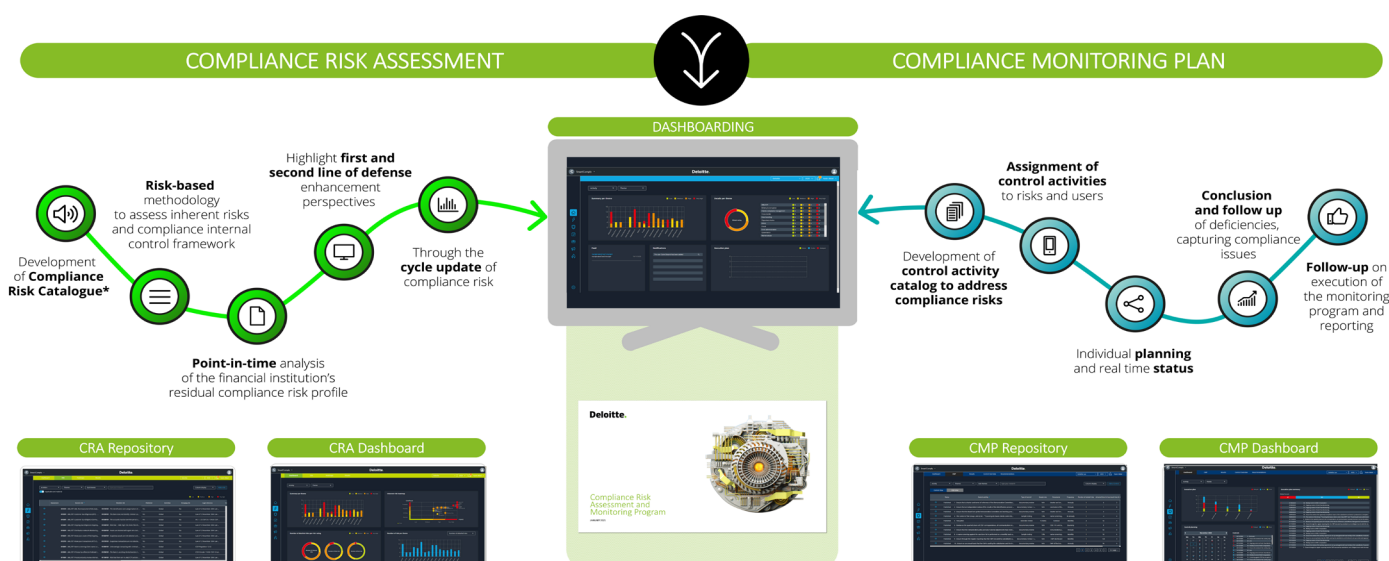
effectively assess and monitor the full spectrum of compliance risks.

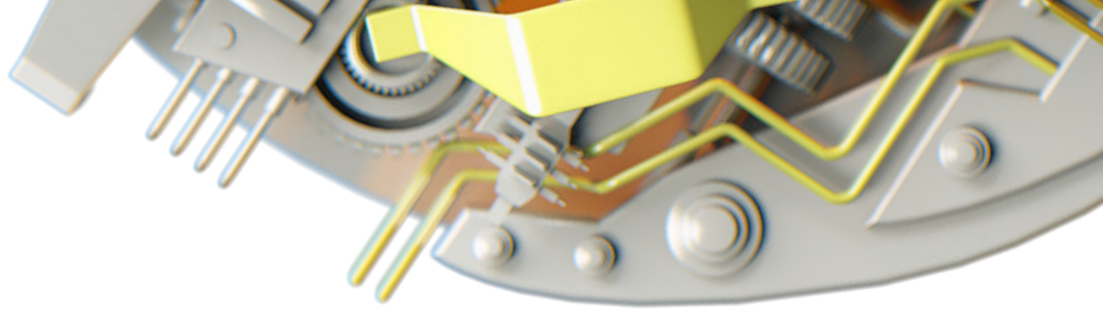
While SmartComply is particularly helpful for **regulated entities**—i.e., financial sector players like credit institutions, investment firms and management companies—our framework can also help other types of organizations comply with an internal set of rules.

Description

SmartComply is a tool hosted in a secured environment (DBoard) that clients can access remotely. It offers two essential **services** in one: risk assessment and risk monitoring.

This **dual approach** allows the compliance function to better manage its compliance risk profile, monitoring and control activities and internal control deficiencies. Its reporting capacities also support the compliance function's communication with key stakeholders, including the organization's management function.





Unique value proposition

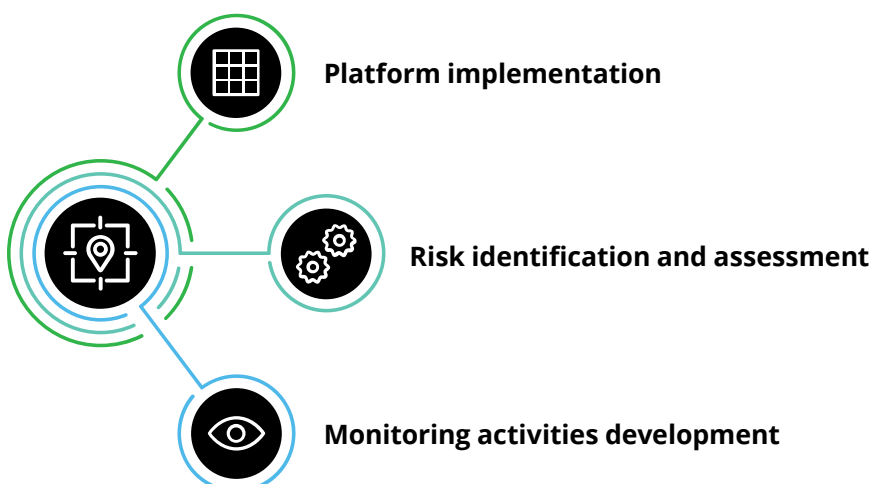
Our SmartComply tool delivers added value by offering:

-  **A risk-based approach:** helps our clients develop a **true risk-based approach** for their monitoring activities.
-  **A framework:** provides a **unique digital experience** to assess, monitor and follow up on compliance risks and monitoring activities through an easy-to-use platform.
-  **A methodology:** provides an easy-to-use, **customizable assessment methodology** for compliance risks and predefined processes for assessing control activities.
-  **Transparency:** enables the compliance function, through **automated dashboarding and reporting**, to provide the organization's management with well-structured and easily understandable information.
-  **Remote access:** access to the platform is managed through solid access management and a **secured environment** (Dboard).
-  **Planning capacities:** monitoring activities are scheduled in the tool and reflected in **each user's individual planning**.
-  **Group perspective:** organizations with **multiple locations** can:
 - Use one single framework to provide a common approach and methodology for the group; and
 - Maintain a **consolidated view** of their compliance risk profile.
-  **Events log:** captures **compliance incidents/ events** and point-in-time analysis with direct and immediate impact on risk assessment.

Target audience

Depending on the type of service required, SmartComply can be directly used by our clients, such as institutions' compliance departments, investment firms, management companies, funds and commercial companies, or by Deloitte practitioners on behalf of our clients.

Deloitte provides assistance and support during the platform setup phase, which includes:



Our specialists

If you have any questions, please do not hesitate to contact us.



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