As regulatory requirements keep evolving, the Compliance Function must-effectively manage its compliance risk exposures by setting up adequate assessment frameworks and a risk-based monitoring program.

Deloitte offers you a web-based Compliance Risk Assessment and Monitoring Program platform to structure and document your risk-based compliance monitoring program approach.

Deloitte's service to structure and document your risk-based compliance monitoring program

Access to Deloitte's compliance risk catalogues (that are updated on a quarterly basis based on regulatory developments);

A dedicated compliance risk assessment environment;

A dedicated compliance monitoring program environment structured according to a risk-based approach;

Numerous dashboarding and presentation functionalities that enable the Compliance Function to capture key information on the Institution's compliance risk profile and the advancement in the execution of monitoring activities.

SmartComply- a simple digital compliance solution

Highlight internal control . . . framework enhancement perspectives

Through the cycle update of the compliance risk assessment

Point-in-time analysis of the residual compliance risk profile

Risk-based methodology to assess compliance risks

Utilization of Compliance Risk catalogues e **update** of . Global Dashboarding, Reporting



Develop monitoring activities and estimate planning capacities

Assign monitoring _ - activities

.

Recommendation management and

Execution status

and reporting

capture of incidents
...
Individual planning

and real time

execution status

Compliance Risk Assessment

Compliance Monitoring Plan

Benefits of SmartComply

Existence of compliance risk catalogues tailored to financial industry participants (i.e. Banking institutions, IFMs, PFSs, PIs)

Planning and documentation of the true risk-based Compliance Monitoring Program

Dynamic management of compliance recommendations

Dynamic management of compliance recommendation

Ongoing capture of compliance incidents

Automated reporting and dashboarding functionalities presenting aggregated key compliance information

Quarterly updates of compliance risk catalogues

Workload management and assessment

Key components of the service offering

Unlimited access to the generic themes and generic risk catalogues.

Creation of a

dedicated personal
environment which
will be tailored based
on the parameters
defined by the client.

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Quarterly screening of applicable regulatory requirements to provide, when necessary, additional generic regulatory risks. Maintenance and development of the platform by our dedicated IT team and technical support.





Future developments to the platform aimed at further improving its functionalities, the user experience and any changing regulatory expectations relative to the CRA/CMP exercise.

Your contacts



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