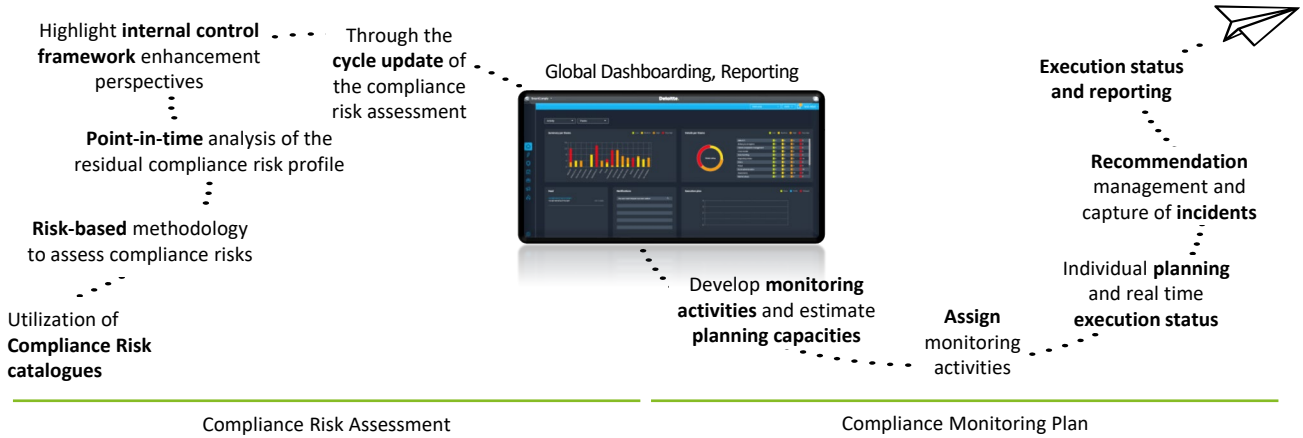


As regulatory requirements keep evolving, the Compliance Function must—effectively manage its compliance risk exposures by setting up adequate assessment frameworks and a risk-based monitoring program. Deloitte offers you a **web-based Compliance Risk Assessment and Monitoring Program platform** to structure 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.

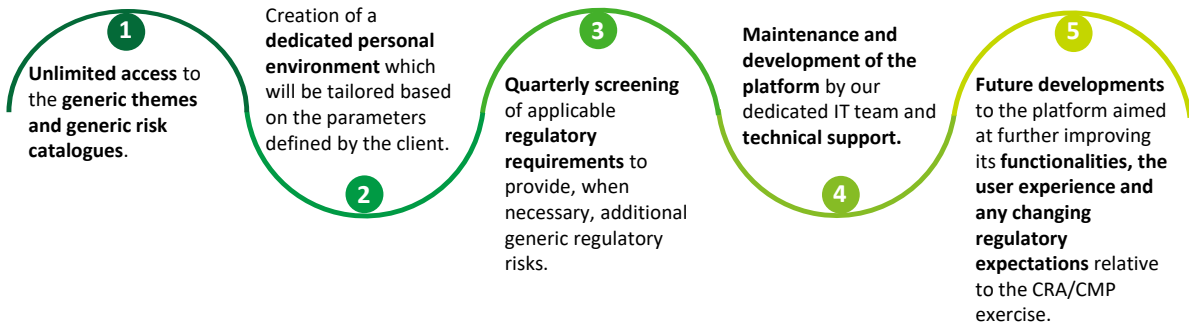
SmartComply— a simple digital compliance solution



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
- 📊 **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



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