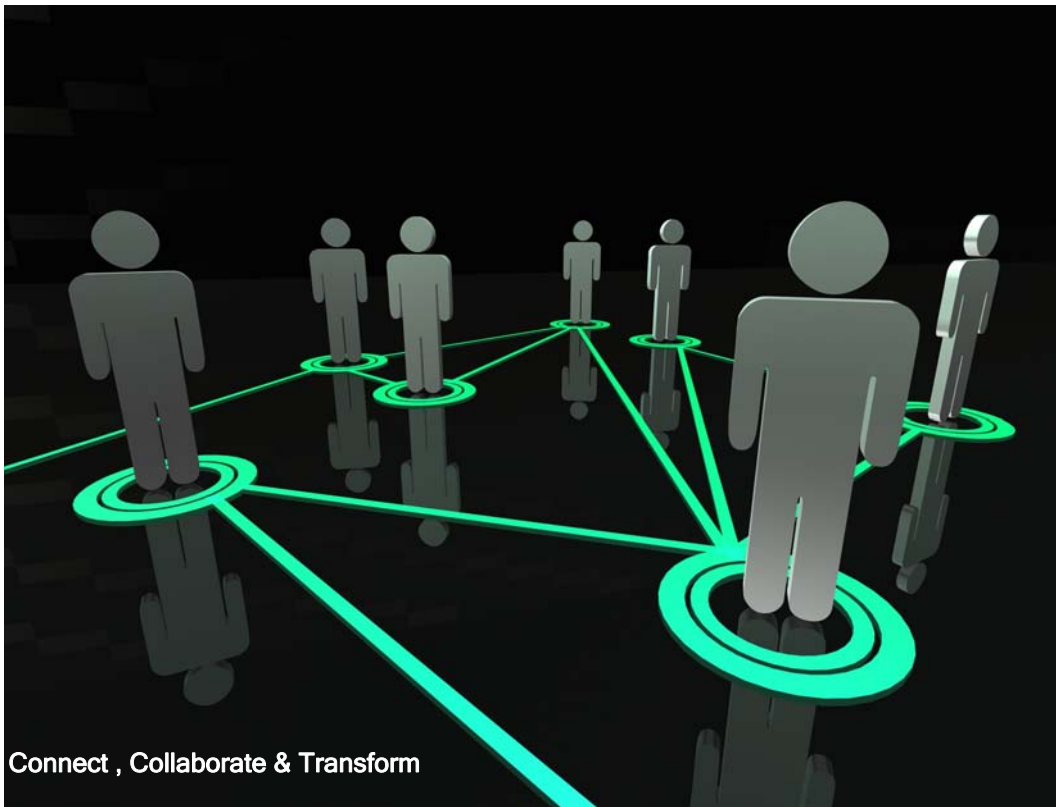




RiskCentric

Compliance.*Connected*





RiskCentric

Who are we?

The Company

RiskCentric develops and operates management systems for highly regulated businesses. Our solutions are designed so that they can be used to manage and control regulatory compliance and associated activities by small, multi-site and global organisations alike.

What do we do?

Our Mission

RiskCentric transforms the way that compliance related activities are performed. Our highly experienced team of risk management professionals and IT systems developers understand the challenges and nuances of implementing governance and oversight technology and the overarching issue of securing organisation-wide adoption of such systems. Our system has been designed to be globally deployable from the minute it is "switched on"-without disruption to any other area of your organisation. Just a short project within the compliance department and the system will transform the way you receive, record and communicate information within your organisation and with external agencies. Other departments will be unaffected by the implementation of Compliance.*Connected* and will interact with the system via the familiar applications they use on a daily basis - such as email.

It's this speed and simplicity of implementation - causing zero disruption to the organisation as a whole - that enables us to go global so quickly and with so little fuss. For most staff everything works much the same as before - compliance processes are transformed without disruption to the rest of the organisation.

Likewise the process of receiving notifications and alerts is transformed, again with virtually no implementation effort. With a couple of clicks notification of regulatory rule book changes, exchange & trading platform alerts, sanctions list updates, etc. can all be captured by Compliance.*Connected* so that they are no longer siloed in mail boxes, but logged in a "case" repository. Here they can be managed and monitored and automatically included in management reporting.

Our solution can truly transform compliance management, without the need for a major systems implementation project.

Sm@rtDocs

Sm@rtDocs is an innovative way of providing users outside of the compliance department with access to the system. We know from experience how difficult it is to have all employees using the system: they forget login information and never achieve full familiarity with the system. Sm@rtDocs gets around this problem and allows the whole organisation to contribute to the compliance process without ever having to know how to access and navigate the new system.

A Sm@rtDoc is a fillable form, accessed via Adobe Reader™. You simply publish them to a location on your corporate intranet; users access them via Adobe Reader™ and submit them to Compliance.*Connected* where they are transformed into case records.



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Why Compliance. *Connected?*

The Solution

The solution provides compliance and oversight functions with tools to create regulatory guidance manuals, cross reference to rule books and standards, together with the capability to manage activities related to monitoring programmes, schedules, advisory and investigations:

Compliance Manual

- Create compliance manuals
- Cross reference to regulator rule books and standards
- Cross reference to affected products, business lines and regulated functions

Monitoring Schedules

- Create and maintain monitoring schedules for multiple oversight groups
- Log and monitor clearance of issues
- Roll up schedules to create global views of committed monitoring activities

Advisory & Investigations

- Log all requests for guidance and potential investigations
- Receive and log exceptions from exchanges and trading platforms
- Case Archive
- Provide electronic repository for supporting documents

Alerts & Advisories

- Automatically receive & log notifications and alerts from external sources such as regulators, exchanges & sanctions lists, transforming them into valuable business records

Notifications and Declarations

- Review approve and record employee notifications such as Gifts & Entertainment, SARs, PA Trading and training declarations

Reporting

- Produce management reports at the click of a mouse;
- Produce as PDF documents for organisation-wide distribution





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How do we install Compliance.*Connected*?

In 6 easy steps:

1. We provision the system at our secure facilities and advise you of your access credentials and your Compliance.*Connected* email address
2. You migrate your existing compliance manuals to the system (or we can do that as part of the provisioning exercise)
3. You create some simple reference data to define the structure of your organisation (with our assistance, if required)
4. You set up subscriptions to the external alerts and notifications (regulators, exchanges etc.) that you want the system to receive and log for you
5. We send you customised e-forms to load onto your intranet so that employees can access them to create affirmation and declaration records such as PA Dealing Notifications and training records
6. You are ready to go! As your corporate email system is used as a delivery channel for receiving information generated outside of the compliance department, Compliance.*Connected* has connected you to the whole organisation by creating a "bridge" between the corporate email system and its case management system.



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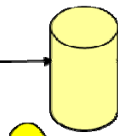
How does Compliance.Connected work?

Alerts & Advisories



Subscribe to an email alerts service

Exchanges, Regulators, sanctions lists etc.;



Receive emails at your Compliance.Connected email address

2

Create Alert Case type

3

Add to case list

Home Page

Active Cases Training & Competence Records Issues Register

Create New Case

Active Cases

Start	Completion	Business Line	Activity Code	Case title	Case Lead	Status
Open	20-Aug-2010	07-Sep-2010	ABN AMRO Clearing Bank	Ext-Exch-Inv	Settlement default	Lee Medhurst Active
Open	07-Sep-2010	30-Sep-2010	ABN AMRO Bank (UK) Branch	Cust_App	New Customer - Escrow	Lee Medhurst Active
Open	22-Aug-2010	01-Oct-2010	ABN AMRO Licensing Bank	Int-Inv	Client Review	Paul Fielding Active
Open	11-Oct-2010	12-Oct-2010	ABN AMRO Markets (UK) Ltd	Int-Inv	FDR Fees for 2011	Paul Fielding Active
Open	13-Sep-2010	12-Oct-2010	ABN AMRO All entities	SYSC Review	Controls Matrix	Gary Olmson Active
Open	08-Oct-2010	15-Oct-2010	ABN AMRO Bank (UK) Branch	Ext-Flag-Inv	Discuss development plans	Gary Olmson Active
Open	30-Sep-2010	29-Oct-2010	ABN AMRO Markets (UK) Ltd	Int-Inv	Client DD	Paul Fielding Active
Open	01-Nov-2010	03-Nov-2010	ABN AMRO All entities	SYSC Review	Liquidity Policy	Gary Olmson Active
Open	04-Nov-2010	12-Nov-2010	ABN AMRO Bank (UK) Branch	Cust_App	Customer Approval - Fit for Free Ltd	Lee Medhurst Active
Open	01-Nov-2010	20-Nov-2010	ABN AMRO All entities	Int-Bus-Up	Compliance Department budget	Gary Olmson Active
Open	22-Nov-2010	30-Nov-2010	ABN AMRO All entities	Int-Inv	Conflict of Interest issues	Gary Olmson Active
Open	19-Nov-2010	30-Nov-2010	ABN AMRO All entities	Int-TBC	Overdue training courses	Gary Olmson Active
Open	03-Dec-2010	03-Dec-2010	ABN AMRO All entities	EXT-RO-INV	Passported requirements - Jersey	Gary Olmson Active
Open	03-Dec-2010	10-Dec-2010	ABN AMRO All entities	Int-Inv	Compliance monitoring Q&A - Germany	Gary Olmson Active
Open	08-Dec-2010	15-Dec-2010	ABN AMRO Bank (UK) Branch	Cust_App	Customer Approval - PQ Siccas UK Ltd	Lee Medhurst Active
Open	16-Nov-2010	15-Dec-2010	ABN AMRO Bank (UK) Branch	Cust_App	Customer approval - Taidan BV	Lee Medhurst Active

Notifications and Declarations

1

Complete PDF form & Email to CMS



Receive email & process attached xml file, creating a new CMS document

Save the document & update CMS Repository

2

Add to case list

4

Alert Designated Contact of new form added

3

Home Page

Active Cases Training & Competence Records Issues Register

Create New Case

Active Cases

Start	Completion	Business Line	Activity Code	Case title	Case Lead	Status
Open	26-Aug-2010	07-Sep-2010	ABN AMRO Clearing Bank	Ext-Exch-Inv	Settlement default	Lee Medhurst Active
Open	07-Sep-2010	30-Sep-2010	ABN AMRO Bank (UK) Branch	Cust_App	New Customer - Escrow	Lee Medhurst Active
Open	22-Aug-2010	01-Oct-2010	ABN AMRO Clearing Bank	Int-Inv	Client Review	Paul Fielding Active
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Contacting RiskCentric

To arrange a no obligation trial contact us on
Tel: 01945 772369
Email: enquiries@riskcentric.co.uk

OR

Visit us at
www.RiskCentric.co.uk

