

Funds-Axis GRC™ is innovative technology which provides an automated compliance environment to enable organizations to effectively meet and exceed regulators' expectations for organizational systems and controls.

Key features of Funds-Axis GRC™ include:

- ✓ A Fund Masterfile module to capture and control all fund information
- ✓ A Policy Management module with obligations library and adaptable suite of controls and monitoring activities
- ✓ Incident Management module including templates for capture and resolution of pricing errors, dealing errors, complaints etc
- ✓ An industry standard Risk & Control framework
- ✓ An Audit and Risk Assessment framework
- ✓ A Document Management module
- ✓ Derivatives, UCITS III, TCF, KYC database, Complaints Management



Dynamic Dashboards

Dynamic Dashboards ensure that information is delivered directly to the individuals that need it, when they need it and in clear, intuitive and visually engaging formats that make it easy to interpret and rapidly act upon.



Funds-Axis GRC™ is sophisticated workflow management technology which features comprehensive security and entitlement functionality and full version control and revision management together with extensive audit trail functionality. Funds-Axis GRC™ features import and export capabilities as well as a comprehensive API which facilitates full integration with existing transfer agency, valuation and other systems.

Big Vision, Small Steps...

Funds-Axis GRC is problem-solving technology which can be used to meet your immediate challenges and deliver **Quick Wins** at a pricing level which makes Funds-Axis GRC the obvious alternative to developing in-house software.

Set out below is a range of ways in which our clients can use Funds-Axis GRC within their organisations. Any one or all of the below are available with a single installation of Funds-Axis GRC:

- ✓ As a **Fund Masterfile** – to capture in a controlled manner all fund information and documentation
- ✓ As a **Document Management** system – to create, develop, and capture all relevant funds and business procedures and documents with full review, sign-off, business familiarisation and periodic review functionality
- ✓ As an **Incident Database** – to replace numerous existing spreadsheets and databases including for **complaints, dealing errors, pricing errors and investment breaches**, and to ensure consistent incident resolution processes, high-quality root-cause analysis and consistent consolidated business reporting
- ✓ To **manage Outsourced Functions** – capture of all SLA responsibilities and key controls, interactive incident workflows between outsourcer & service provider, and automated provision of all key **M.I., KPI's and KRI's**
- ✓ **ICAAP** – capture of all business risk and related controls; assessment of the impact and likelihood of the Risks, including on RCSA basis; linked-up to incidents and losses data in the Incident Module
- ✓ **SAS70 / AAF01/06** – capture all SAS70 / AAF 01/06 control objectives and controls and manage the related audit and assessment of internal control processes
- ✓ To co-ordinate **Compliance, Audit and Risk monitoring and oversight** in order to meet business expectations of consistent and efficient oversight processes. Achieved through co-ordinated risk assessments, set-up and diarisation of all monitoring plans and checklists, comprehensive findings management and corrective action plans
- ✓ To manage **Fund of (Hedge) Fund due-diligence** – capturing information on all proposed investments, together with electronic due-diligence checklists and risk assessments that are required to be completed before investment
- ✓ To manage **Risk Control Self Assessments (RCSA)** – enable a range of personnel throughout the organisation to complete **RCSA's** with the results flowing back to Risk and Compliance
- ✓ To **provide governance in respect of Charles River, Latentzero, MIG21 etc** compliance monitoring systems – to bring greater efficiency and control to the investment monitoring process
- ✓ As a **Property Fund Register** – capturing all relevant property fund information together with all fund documents supporting the performance of compliance monitoring

Fund Masterfile

Incident Management

Document Management

Policy Management

Risk & Control

Audit & Assessment

Dynamic Dashboards