

A group of four business professionals (three men and one woman) are seated around a table in a modern office setting, engaged in a meeting. The scene is brightly lit by large windows in the background. A teal semi-transparent banner is overlaid across the middle of the image, containing the main title in white, bold, sans-serif font. Below the banner, a light grey horizontal bar contains the subtitle in a smaller, teal, sans-serif font.

RISK & COMPLIANCE DASHBOARD

SOFTWARE FOR FINANCIAL ADVISERS

INTRO

FINANCIAL COMPLIANCE

AML360 provides financial advisers an all-in-one risk and compliance dashboard. The AML360 dashboard can take care of more than just AML CFT compliance. It also measures your client's investment knowledge and appetite for investment risk. This streamlined approach to regulatory obligations ensures the resourcing of financial advisers remains focused on business objectives.



COMBINE AML AND INVESTMENT PROFILING

Unique ID:

Text:

Profile Type:

Start Date:

Profile Risk:

End Date:

Division Type:

Profile Pie:

Division Risk:

Division Pie:



Profiling modules are fully tailored and enable Advisers to combine regulatory expectations into one data report.

- All
- Very Low
- Low
- Medium
- High
- Very High

- All
- AML Profiling
- Investment Knowledge
- Investment Tolerance
- Account Activity
- Check List

Unique ID	Profile Type	Profile Risk	Date	User Name	Actions
C000020	Regulatory	<div style="width: 100%; height: 15px; background-color: green;"></div>	05/26/2017	Adviser	
C000030	Regulatory	<div style="width: 100%; height: 15px; background-color: red;"></div>	05/21/2017	Adviser	



MINDSET

ADVISER MINDSET

Advisers have many obligations. Not only must they ascertain their client's investment knowledge but they must also meet AML CFT compliance requirements. AML360 simplifies each category. We provide tailored solutions to meet the adviser's needs. Our systems capture data, measures risk and records findings in a single simultaneous action.

MATCH PRODUCT TO CLIENT NEEDS

What is the client's prior experience in holding financial investments:

✓ Very Little

Very Little to Moderate

Moderate

Moderate to Experienced

When a data input requires a further action, an automated reminder is sent to the Adviser's email. An example is a client who has little investment knowledge. This can result in an email alert to send the client additional information brochures.

Financial Advisers can use their management dashboard for any purpose, including product evaluation. An evaluation of products makes it easy to select investment choices against the client's needs. Product quality is instantly recorded in colour code of high quality (blue) through to very poor quality (black). The drill down filters make product selection simple. This is an effective risk and compliance dashboard for Financial Advisers and includes product analysis and action triggers, along with simple case management of client portfolios.

What is the client's primary investment purpose:

✓ Hedge against inflation

Interest Bearing Only

Capital Gain - Aggressive

Capital Gain - Moderate

EVALUATE PRODUCT FEATURES

Unique ID:

Profile Type:

Profile Risk:

Division Type:

Division Risk:

Text:

Start Date:

End Date:

Profile Pie:

Division Pie:



A Product Register makes it easier to identify products matching the client's needs. The Unique ID reference links to the product name.

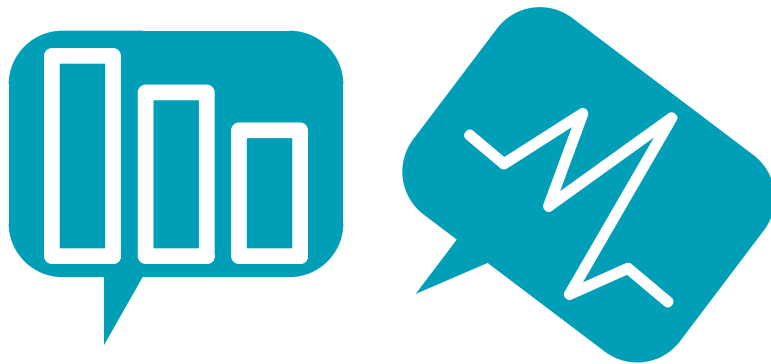
- ✓ All
- Very Low
- Low
- Medium
- High
- Very High

- All
- Percentage Return
- ✓ Surrender Clause
- Pegged to Inflation Index
- Reporting Frequency
- Reputation

Unique ID	Profile Type	Profile Risk	Date	User Name	Actions
P000010	PRODUCT		05/26/2017	Adviser	
P000035	PRODUCT		05/21/2017	Adviser	

FLEXIBLE REPORTING

Easily create client reports and profile modules that you need to meet licensing requirements.



COLLABORATION

Use the case management feature, assign tasks, set priorities, track and report.

3RD PARTY ACCESS

Standardise the approach of 3rd party agents.



INTUITIVE

The dashboard is easy to navigate. The drill down filters instantly convert data to maps and charts.

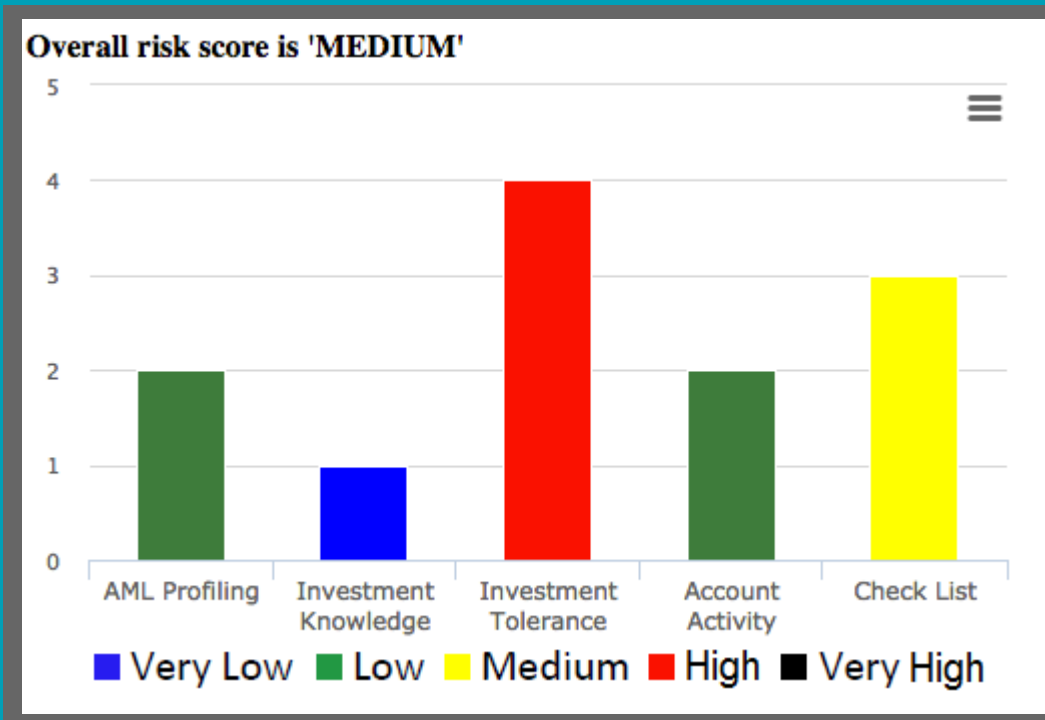


The AML360 dashboard is tailored to your regulatory obligations, starting from the business risk assessment through to client onboarding and ongoing due diligence. All data is stored in your personalised register and remains readily available to stakeholders.

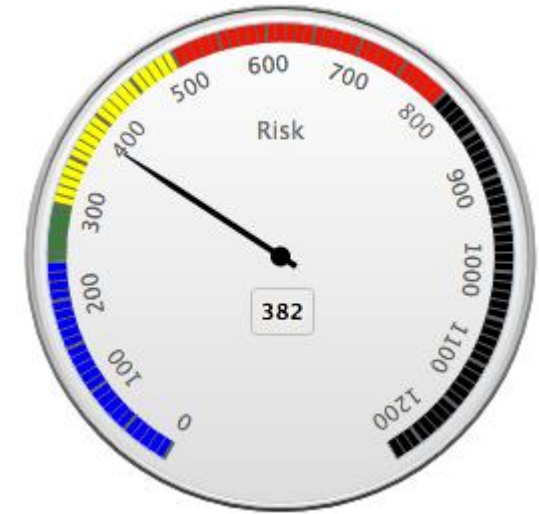


STREAMLINE COMPLIANCE - REDUCE COSTS

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AML360 can take care of multiple regulatory obligations. The above is a sample of a customer profile chart. Each profile additionally incorporates a text report. All results are filed in the Adviser's dashboard from where updates can be easily administered.









The dashboard automates risk measurement and profiling. Results are sent direct to your personalised register.



If desired, data entries can be entered directly by your clients.

TASK REGISTER

The Task Register streamlines everything you do to run your practice. It provides multiple options and enables you to keep track of higher priority actions. It is commonly used as a work flow engine to check off your processes.

Unique ID	Due Date	Priority	Task Status	Actions
C000010 - Customer Risk	6/30/2017			 

Risk Profile  

Customer ID: C000010
Profile Type: Customer Risk
Date: 5/29/2017
Profile Risk: 
Task Priority: 
Task Assignee: Adviser
Task Due Date: 6/30/2017
Task Status: Closed

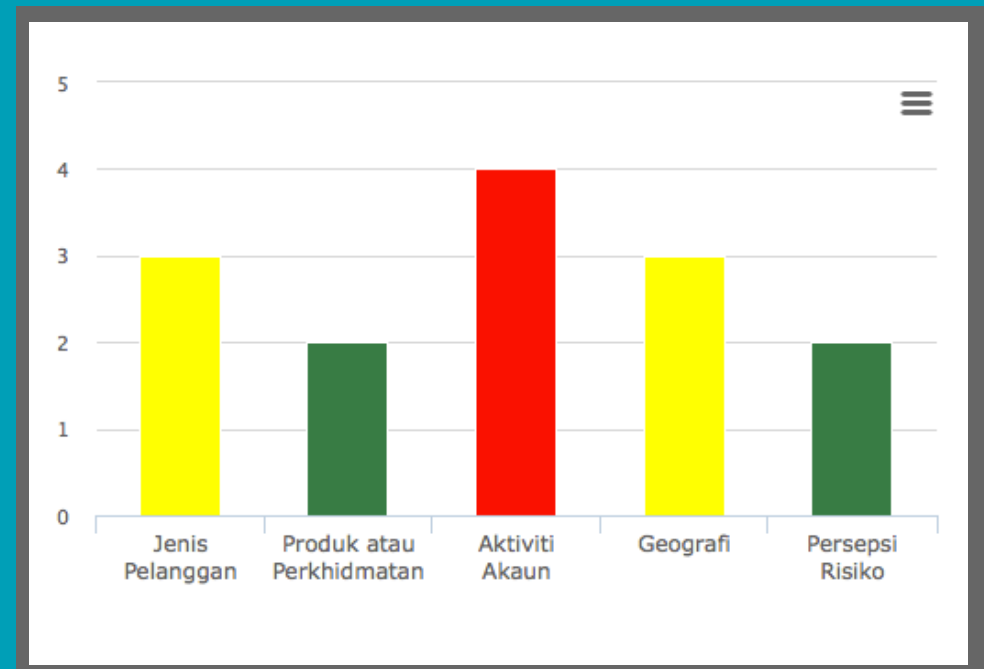
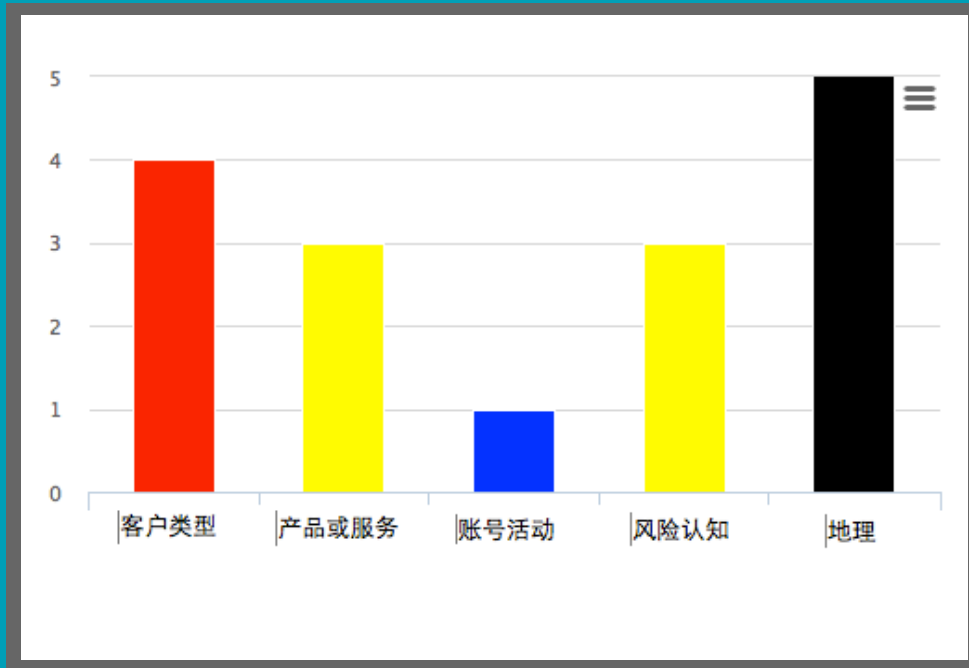
NOTES:

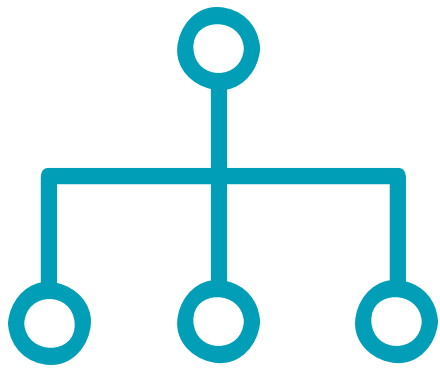
- Verification records due on 30 June
- Customer has now provided certified copies of verification records. Task can be closed.

[Edit](#) [Save](#)

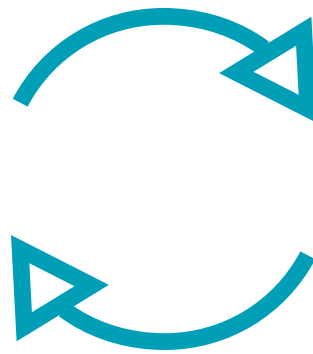


MULTI LANGUAGE OPTIONS





Set priority tasks and due dates. Simplify record keeping and keep track of outcomes. Use this feature for recording client notes or for setting reminders and appointments.



Develop your regulatory life cycle in a single dashboard. Risk assessments, customer profiling, compliance reviews, audits, transaction monitoring, sanction screening.



Leverage from the knowledge of our AML experts. Adopt industry best practice. Gain confidence from stakeholders that your business is on top of compliance objectives.

TRANSACTION MONITORING



HEAT MAPS AND TABLES

Customer	Product	Debit	Credit	Profile Risk	Transaction Risk	Actions
N0000000	credit to bank	400	0	Green	Green	X O O
N0000000	credit to bank	47.6849	0	Green	Green	X O O
N0000000	credit to bank	400	0	Green	Green	X O O
N0000000	credit to bank	0	0	Blue	Green	X O O
N0000000	credit to bank	4000	0	Red	Red	X O O
N0000000	credit to bank	880	0	Yellow	Green	X O O

MONITORING REGISTER

Transaction Details
Customer ID: N0000794
Profile Type: Transaction Monitoring
Date: 12/22/2014
Product: credit to bank (province)
Debit: 7000
Credit: 0
Profile Risk: [Red]
Transaction Risk: [Red]

Customer's transaction had insufficient background to source of funds. Confirm source of funds then report to AMLCO.

Profile Risk: [Red]
Transaction Risk: [Red]

NOTES:

Edit Save Close

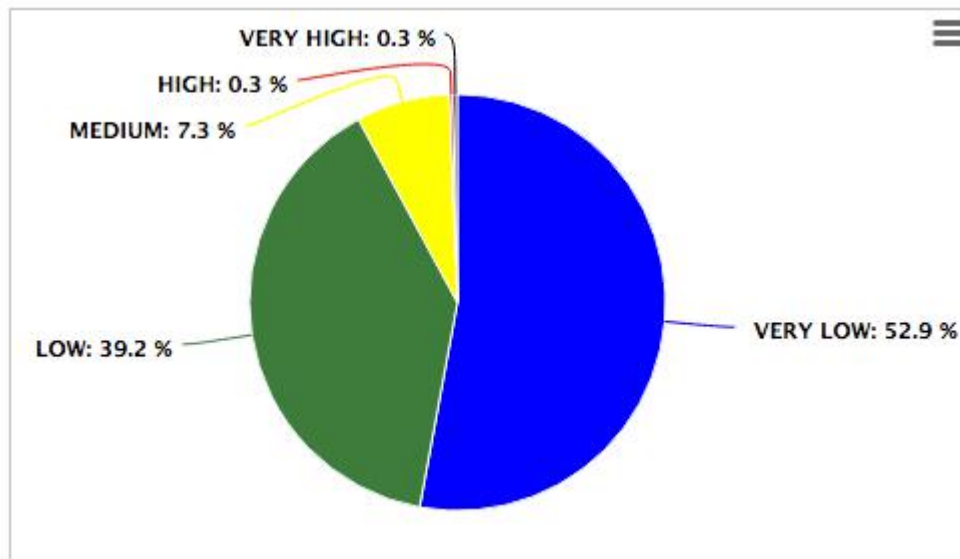
CASE MANAGEMENT

Through an Excel upload, your dashboard will instantly populate with risk data, summary transaction tables and heat maps to identify 'red flag' transactions.

You can view transactions through a number of visual displays including Bar Chart, Heat Map, Data Reports or from a Risk Register. Drill down filters are available for transaction analysis.

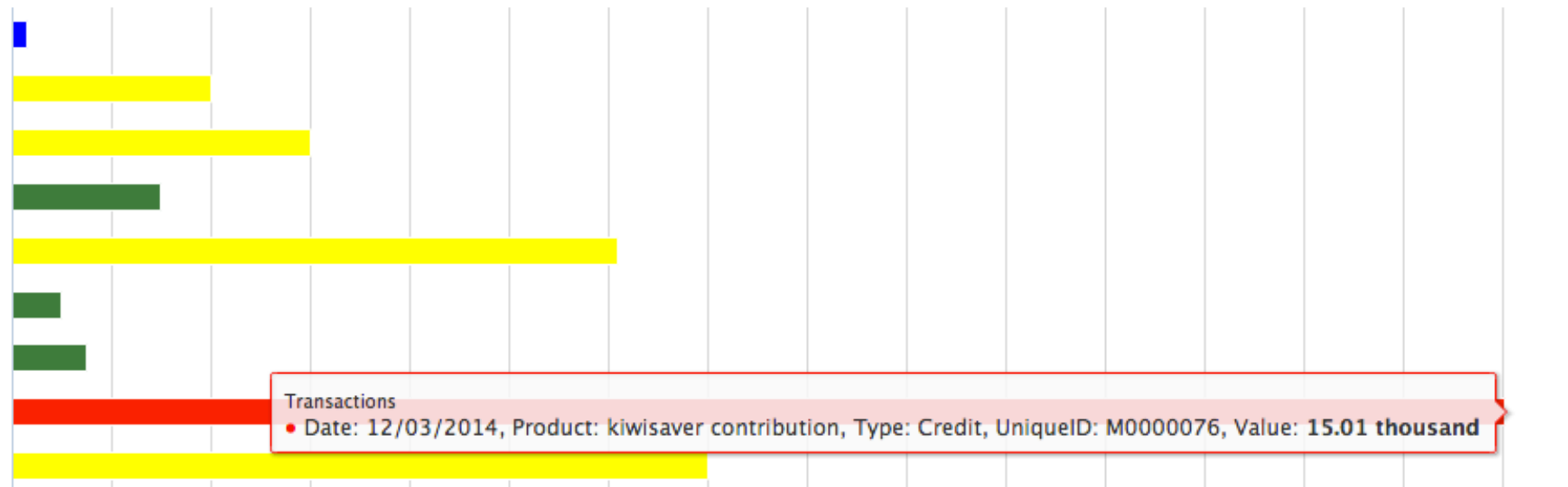
Use the Case Management feature to track and report actions and findings. Once a transaction is determined as a 'false positive', closing the case will automatically change the red flag to green.

TRANSACTION MONITORING



Customer ID	-
From	11/3/2014
To	2/27/2015
Debit	316213.31
Credit	2735825.96
Aggregate	3052039.27
Number of Customers	940
Number of transactions	4170
Most common product	kiwisaver contribution
Highest value	30341.46
Lowest value	6
Average value	731.9

■ Very Low
 ■ Low
 ■ Medium
 ■ High
 ■ Very High





**COMPLIANCE IS AN
INVESTMENT.
PROTECT YOUR
REPUTATION.**

FULL SUITE OF COMPLIANCE TOOLS

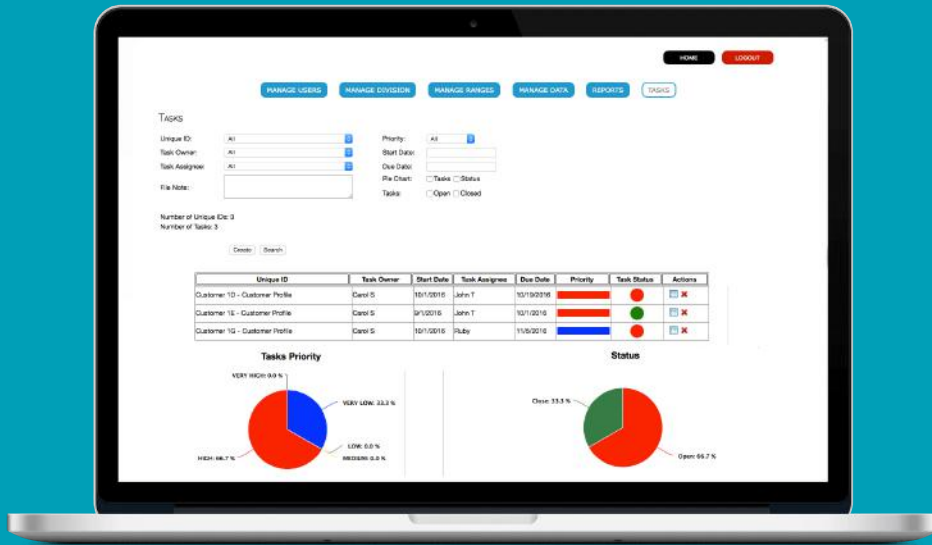
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PART OF SOMETHING BIGGER

AML360 focuses on reducing
cost of compliance
obligations without compromise
to quality.

OUR APPROACH TO COMPLIANCE & RISK MANAGEMENT

Our software ensures streamlined functions by carrying out a single action to capture data, analyse, measure, record and report. In doing so, human resourcing commitments are significantly reduced - saving your business time and money.



Level 27, 188 Quay Street
Auckland 1010

Get in Touch:
Daniel Rogers
Asia Pacific Sales Director

info@aml360.com
+64 9 889 0883

daniel@aml360.com
Mobile: +64 (0) 21 803 089