



# 4TEUS™ Governance, Risk Management & Compliance System

Putting your clients first

Risks & Threats ... Controls & Recovery Measures ... KPIs & Metrics ... Breaches & Incidents ... Data Requests ... Actions ... Checklists & Assessments

Likelihood	4	Likely				R1 - Operating Risk R2 - Capital Adequacy R3 - Credit Risk R4 - Legal & Reg Risk R5 - Reputational Risk
	3	Possible			T13 - Money Laundering T15 - London Office exit T25 - CPrs Conf of Int R23 - Conflict of Int Risk	T20 - Mkt Instabilities R4 - Market Risk R558 - Trading Risk R6 - Project Risk R2 - Credit Risk R7 - Business Risk R5 - Strategic Risk T21 - MFIQ Project Team R8 - Liquidity Risk
	2	Unlikely	T34 - Supply Cont of Int	T18 - Ops audit Issues T17 - Inappropriate Pol Docs	T18 - Staff Recruit	T861 - Bribery & Corruption
	1	Remote	T14 - New Client Taking T19 - Retail Compliance			T12 - Market Abuse
			Trivial	Minor		
			1	2		

Risks & Controls Matrices

Business Continuity		Crisis Management		Systems	
Question Number	Question	Answer			
1	Has a detailed risk assessment and the likely impact of the relevant threats been carried out within the last year, or when there is a change in normal operations?	Yes			
2	Has business continuity planning and the plan appeared on the Board's agenda within the last year?	No			
3	Does the BCP identify the impact to the business in a disaster for all functions, taking into consideration the time of day and year?	Yes			
4	Does the plan specify timescales and priorities for recovering all business functions?	Yes			
5	Does the plan adequately consider the total destructive loss of the site including some loss of staff?	No			
6	Are the plans available offsite at any time of day by all relevant staff?	No			
	external suppliers?	N/A			

Checklists & Assessments

No.	Name	Type	Risk Owner	Office	Category	Pre	Current	Target	Trend
R2	Legal & Regulatory Risk	CR	Chris Darvell	London	Legal	25	20	2	↔
T10	Recruitment of unsuitable senior staff in the UK	T	Chris Darvell	London	Legal	12	8	2	↔
T12	Staff involved in 'Market Abuse' as defined by MAR	T	Malcolm Darvell	London	Legal	18	6	3	↔
T13	Clients identified as laundering money	T	Malcolm Darvell	London	Legal	20	9	4	↔
T14	Short positions of Shares & Sovereign Debt exceed 'Short Selling' Regime limits	T	Peter James	London	Legal	18	2	1	↔
T16	Misselling of financial products incurs fines & penalties from Regulators	T	Malcolm Darvell	London	Legal	18	6	5	↔

Multiple Interlinked Registers

Personalise your risk & compliance framework within a single integrated environment to provide an auditable, 'evidencing' solution for your management, your regulators and your clients.

## The Benefits

Maintain integrated registers for your total governance, risk & compliance needs:

- Core risks & threats, their mitigating controls & recovery measures and related key performance indicators
- Combined risk & control 'frameworks' to manage key challenges, e.g. CASS, SYSC, GDPR, SMCR, etc.
- Financial exposures to risks to, e.g. support any ICAAP requirements, or similar
- Breaches, incidents & external requests for information
- Remedial actions & tasks
- Central libraries for supporting documents and web-links
- Records of both your tangible and intangible assets

## Key Features

### A flexible & scalable solution for your specific needs:

- From 'SMEs' to large global organisations
- Every component configurable & customisable

### Component Linking:

- Ability to link components for workflow & audit requirements, e.g. Risks & Threats with their Controls & Recovery Measures against associated Incidents/Breaches and Actions
- Facility to group similar Checklists & Assessments together to provide consolidated views across the whole organisation
- Providing a total 'integrated' view of your governance, risk & compliance environment

### Wide range of outputs & reports, across all areas:

- Simple register lists
- Combined detail reports across all components
- Core detailed risk reports including all quantifiable financials & metrics

### On-line Repositories, containing:

- Records of tangible & intangible assets
- Physical documents or links to websites or internal servers
- Calendar & diary entries for each user

### Data Imports, Exports & Integration:

- Import of existing registers from external spreadsheets
- Export of all data, if required, for reporting purposes
- APIs available for integration with other applications

### Full Audit Trail & History

## Assessments

### Extensive & growing library of checklists & assessments:

- **Clients** – e.g. 'KYC' and Money Laundering Checks
- **Employees** – e.g. PAD / MAR and SM&CR
- **Compliance** – e.g. Policy Reviews
- **Business & Operations** – e.g. Business Continuity Plans, Cyber Security, Health & Safety, Internal Control Checks and Due Diligence Questionnaires
- **Personalised** – i.e. define your own bespoke templates

## Modules

### Core module:

- Assets Register
- Document Library
- Calendar & Reports

### Optional modules:

- Risks, Controls & Metrics
- Incidents, Data Requests & Actions
- Checklists & Assessments

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