REGULATORY • TRADE • GOVERNANCE

DYMA RTG

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DYMA RTG was designed to meet the increasing complexity in compliance monitoring activities. DYMA RTG integrated software acts as a repository of heterogeneous information so that compliance officers can access corporate information, policies, guidelines, notifications and circulars in a structured way. DYMA RTG makes it easier for the compliance officer to monitor progress of monthly and quarterly compliance checklists as well as tracking reporting of compliance breaches. DYMA RTG provides a robust solution to address the needs of compliance function of any bank. For example:

> Repository of Regulatory Guidelines, Notifications and Circulars.

> Repository of Internal Policies, Framework and Guidelines.

> Monitoring monthly and quarterly compliance checklists.

> Submission of monthly and quarterly compliance report by departments and branches

> Reporting incidents of compliance breaches.

> Linking checklists, guidelines and policy repository, monthly and quarterly compliance reporting

  and compliance breaches together.

> Automation of Chinese Wall process to protect the bank from the risk of insider trading allegations.

Completeness

DYMA RTG manages all the information involved in the compliance function. It enables you to manage or access organizational data, regulatory and internal guidelines, policies and framework, monitor compliance report submissions, track incidents of compliance breaches and manage Chinese Wall policy compliance.

Accountability

DYMA RTG provides a detailed audit trail that automatically keeps track who did what and when. In a few clicks any internal or external auditor can reconstruct the whole history on any issue.

Access to information

DYMA personnel 50 years combined experience in solving complex technical problems allows DYMA RTG to manage a large amount of data through intuitive interfaces. Any compliance officer can be granted access to all the information that is specifically relevant for him with a high level of granularity.

Transparency to Regulators

Having a regulatory authority come into your enterprise to review your processes and documentation is normally a long and complex activity. With DYMA RTG all the information needed by regulators can be accessed quickly and easily, with full confidence regarding the quality and origin of the data.

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DYMA RTG
MAIN FEATURES

Compliance Library

This is the library of all regulations, policies and guidelines that will be used as reference and for testing of compliance using the Individual Checklist and Department Checklist.

Organization Map

This is where the hierarchy of the organization is configured. This feature is used extensively in the checklist, non-compliance report and for organizing the data in reports.

Governance of Chinese Wall Policy

This module allows maintenance of Watch List, Restricted List, Black-Out List, Deal Team members to ensure compliance of the Chinese Wall policy and to protect the bank against insider trading allegations. Bank employees can submit applications to trade and compliance officers can review the applications and approve or reject the applications.

Deal Team Leaders and Departmental Heads can request for a client to be added to or uplifted from the Watch List and/or Restricted List and/or Black-Out List. The module also supports requests for Crossing Over Chinese Wall and Crossing Back Chinese Wall to ensure transparency when a Deal Team requires outside experts to temporarily join the Deal Team.

Individual Checklist

This is where the individual checklists are published. The system automatically publishes the individual checklist based on the assigned organization units in the compliance library and the assignment of a user to specific organizational units.

Departmental Checklist

This is where the departmental checklists are published. The system automatically publishes the departmental checklist based on the assignment of organization units to specific rules and regulations in the compliance library.

Non-Compliance Report

From the checklists, the compliance officer can identify any non-compliance issues and create a non-compliance report.
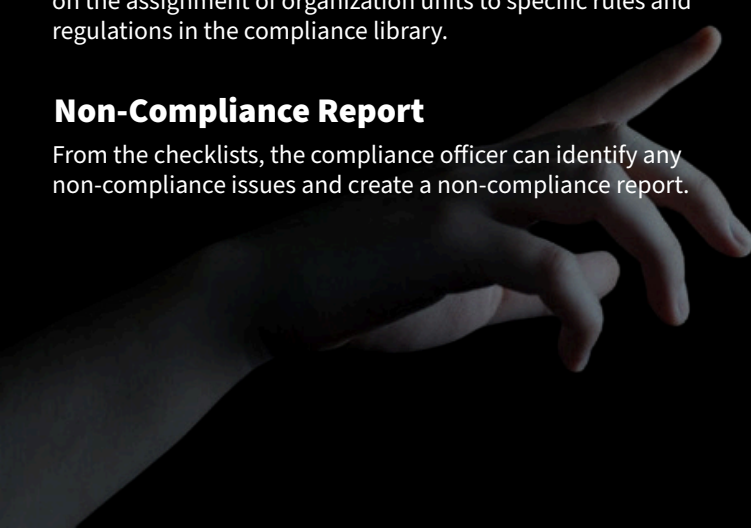
Reporting

This function is used to define the report templates that will be used to generate various reports. This function can be used to create reporting templates for example:

1. List of incomplete checklists

2. Departmental overview of reported non-compliance issues

3. Full list of non-compliance issues

4. List of non-compliance issues that has not been resolved

5. Listing of Compliance Library

6. Listing of Compliance Reporting Submission by Departments or Branches

Workflow

The Workflow engine of DYMA RTG allows configuration of the system workflow to match the specific steps of each compliance process of the Bank. If the process steps changes, the system workflow can be changed to match the new process steps.

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