



cutting through complexity

KPMG FORENSICSM

Astrus

Monitoring

Automated online
counterparty data
monitoring

kpmg.com



What's on your mind?

Unsystematic approach

If challenged by a regulator, would you be able to demonstrate that you have a consistent, systematic, centralized, and auditable process in place to regularly refresh your customer or counterparty data?

Compliance costs

Are you concerned by the escalating costs of compliance, particularly the expectation that you will regularly screen a large proportion of your customers or counterparties for changes in status? Does your periodic review process divert valuable management time from other, competing priorities?

Errors and inconsistencies

Manual periodic reviews are prone to human error. Are you being consistent in the way that you gather and process data used to refresh your customer and counterparty records? How soon would you identify and resolve changes in underlying data sources such as financial regulator authorization lists?

Business – critical data changes

Manual review processes often consider customer or counterparty data changes only on an infrequent basis. What happens if data critical to your compliance assessment changes in the intervening period? Could you rely on your customer or counterparty to inform you on a timely basis, or at all?

Astrus Monitoring

KPMG firms provide automated monitoring of established external data sources to alert you to information changes that impact your risk assessment of third parties with whom you do business.

Astrus Monitoring provides a precise and highly configurable system, capable of integrating and monitoring data from multiple information sources. Astrus Monitoring has been specified and built in response to our clients' needs to maintain accurate and up-to-date reference information, whether for Anti-Money Laundering (AML) or Anti-Bribery and Corruption (AB&C) compliance purposes. Astrus Monitoring is a credible and cost-effective alternative to manual monitoring processes. Changing to an event-driven system can help reduce your ongoing compliance costs and alert you at an earlier date to critical customer and counterparty data changes.

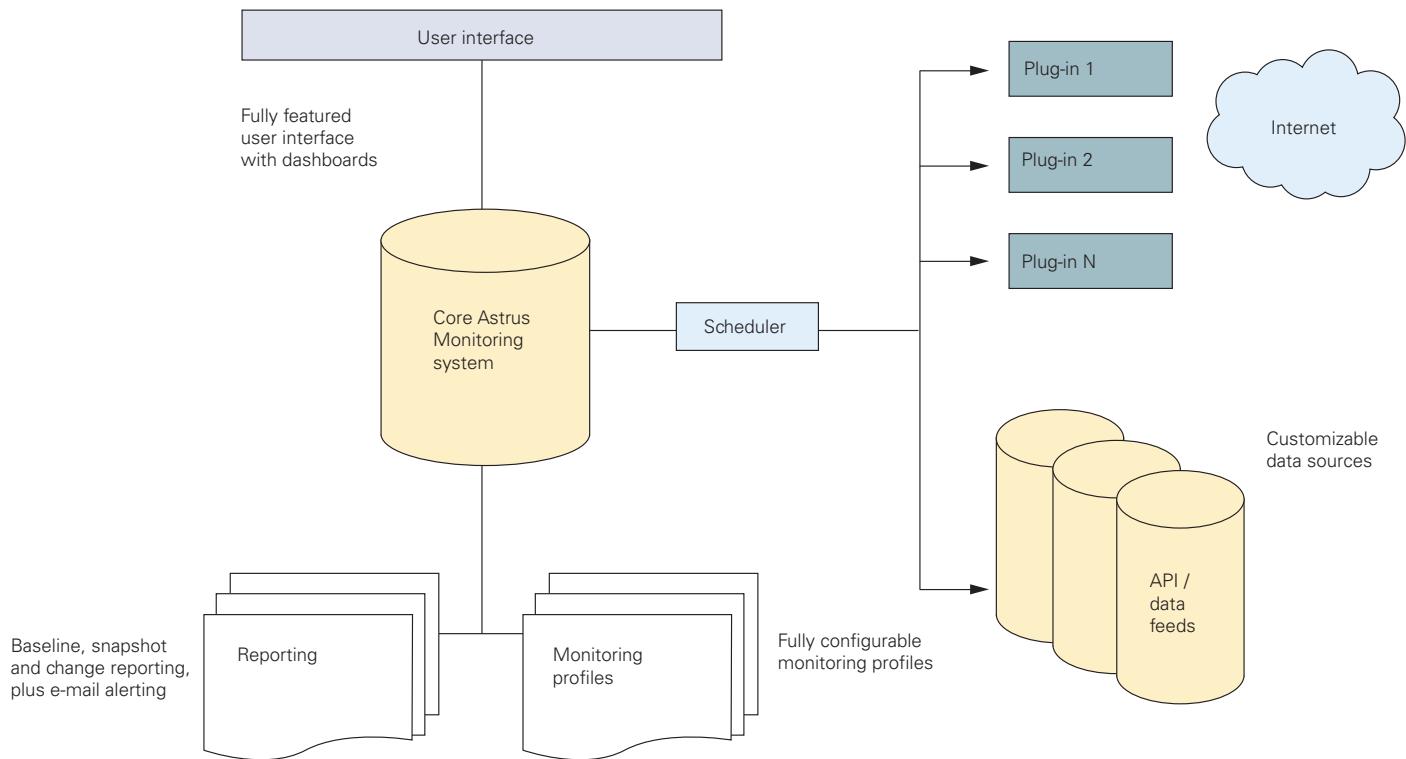
How Astrus Monitoring can turn risk to advantage

- Astrus Monitoring is a technology-based system used to consolidate data from a wide range of primary data sources worldwide such as corporate registries, regulators, stock exchanges, and central banks. Additionally, Astrus Monitoring can be used to integrate leading data aggregators such as Bloomberg or Bureau van Dijk, to extend information coverage. Potentially, we can build additional data source integrations to your specification.
- Astrus Monitoring is highly configurable, allowing you to specify which data sources and which data fields within these sources are monitored, and at what frequency. Monitoring profiles can be customized to match your organization's third-party program compliance guidelines.
- Astrus Monitoring introduces a high degree of conformity to your monitoring processes. We maintain an audit and evidence trail including screen capture information and digitally signed reports to support regulatory compliance. A centralized process for specifying which data sources are used under what circumstances and at what frequency provides comfort that processes designed to address regulatory compliance are applied consistently.
- Astrus Monitoring provides alerting and escalation functionality to help your business ensure that critical changes are reviewed on a timely basis. User-friendly reporting dashboards and Key Performance Indicator metrics can be extracted to help you manage your compliance risks effectively.
- KPMG provides a fully hosted and supported system. We maintain data source integrations on your behalf. If data sources change, we will update these within a short period. This reduces the risk that you are inadvertently relying on out-of-date information sources.
- Manual periodic reviews typically cover a large range of records to identify a relatively small number of relevant changes. As Astrus Monitoring precisely identifies these relevant changes as well as maintaining a detailed record of non changed records, you can potentially reduce your manual review effort, saving you time and money.



System configuration

Overview of Astrus Monitoring system architecture



Baseline, snapshot and change reporting, plus e-mail alerting

Fully configurable monitoring profiles

Customizable data sources

Internet

Secure portal

A user-friendly interface providing visibility of monitored entities and data changes

Secure portal

Astrus Monitoring is a Web-based service hosted in KPMG's secure Forensic data center. Astrus Monitoring architecture is maintained by KPMG Forensic and is accessed via an encrypted link.

Monitoring profiles

Set monitoring profiles according to your individual organization's compliance needs. Track individual or multiple data sources through a single profile to maintain a unique entity data view. Establish data collection hierarchies by selecting key data (such as regulated status) directly from the regulator's Web site, while accessing supporting data (such as company principals) from preferred data aggregators.

Reporting

To maintain audit trail integrity, Astrus Monitoring reports include embedded screen shot attachments and are digitally signed. Astrus Monitoring offers an event-driven approach to periodic/rolling reviews of customer reference data. It provides an e-mail alerting system with built-in escalation points as well as a detailed audit and evidence trail.

Case studies

How KPMG firms have helped others

A leading global financial institution uses Astrus Monitoring to support its customer identification program rolling review process for AML compliance purposes, particularly in relation to lower-risk entities in its population. The ongoing customer identification requirements for these entities can be fully addressed through the use of Astrus Monitoring, thereby freeing valuable resource to focus on higher-risk customers. Astrus Monitoring helps our client fulfill its regulatory obligations while reducing its ongoing operational costs.

A leading global financial institution is using Astrus Monitoring to help support a major Know Your Customer data remediation exercise involving tens of thousands of customer accounts. Astrus Monitoring provides data from a wide range of primary data sources and established third-party data aggregators to help accelerate the remediation process, releasing resources to be used on higher-risk accounts where greater levels of manual effort are required. Certain data sources have been built into Astrus Monitoring to address specific AML compliance needs of our client.

Sample data sources

Example data sources covered by Astrus Monitoring

The following is a small selection of the data sources currently within the scope of Astrus Monitoring:

- Australian Securities and Investment Commission, Australia
- Banca d'Italia, Italy
- Athens Chamber of Commerce and Industry, Greece
- Banque Carrefour des Enterprises, Belgium
- Bermuda Monetary Authority, Bermuda
- Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin), Germany
- California Secretary of State Division of Corporations, United States
- Cayman Islands General Registry, Cayman Islands
- Comisia de Supraveghere a Asigurarilor, Romania
- Commissariat aux Assurance, Luxembourg
- Companies House, United Kingdom
- Companies Registration Office, Ireland
- Departamento de Estado de Puerto Rico, Puerto Rico
- Farm Credit Administration, United States
- Financial Services Board, South Africa
- Georgia Department of Banking and Finance, United States
- Hong Kong Monetary Authority, Hong Kong
- Investment Advisor Public Disclosure, SEC, United States
- Kamer van Koophandel, Netherlands
- l'Autorité de Contrôle des Assurances et des Mutuelles, France
- Ministry of Corporate Affairs, India
- National Bank of Slovakia, Slovakia
- National Futures Association, United States
- Ontario Securities Commission, Canada
- Securities Exchange Commission of Pakistan, Pakistan
- The Financial Services and Markets Authority, Belgium
- The Trade and Industry Register, Sweden
- Turkish Trade Registry Gazette, Turkey

Additionally, Astrus Monitoring provides functionality to add data feeds from preferred data providers such as Bloomberg and Bureau van Dijk for example, as well as other leading aggregators as required.

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