



# Compliance Control Hub

A modern and digital Compliance Management System can play a key role in helping the Senior Management of banks and asset managers to sustainably strengthen the confidence of investors, customers and financial market in their company.

The use of technology empowers the Compliance Function to identify and oversee risks effectively and ease the burden of performing controls manually.

In fact, if you are still using spreadsheets and shared drives to manually perform and document your compliance controls, **it is time to make a change!**

Our PwC Compliance Control Hub offers the Compliance Function to setup and perform a tailor-made Compliance Monitoring Plan in line with an organisation's applicable regulatory environment.

**A digital solution that rethinks the way you perform Compliance duties**



## Your challenges Our solutions



An integrated digital module-based solution to perform the Compliance Function's second level of controls.



A regulatory control and governance inventories tailored to (i) your activities and (ii) your compliance risk assessment.

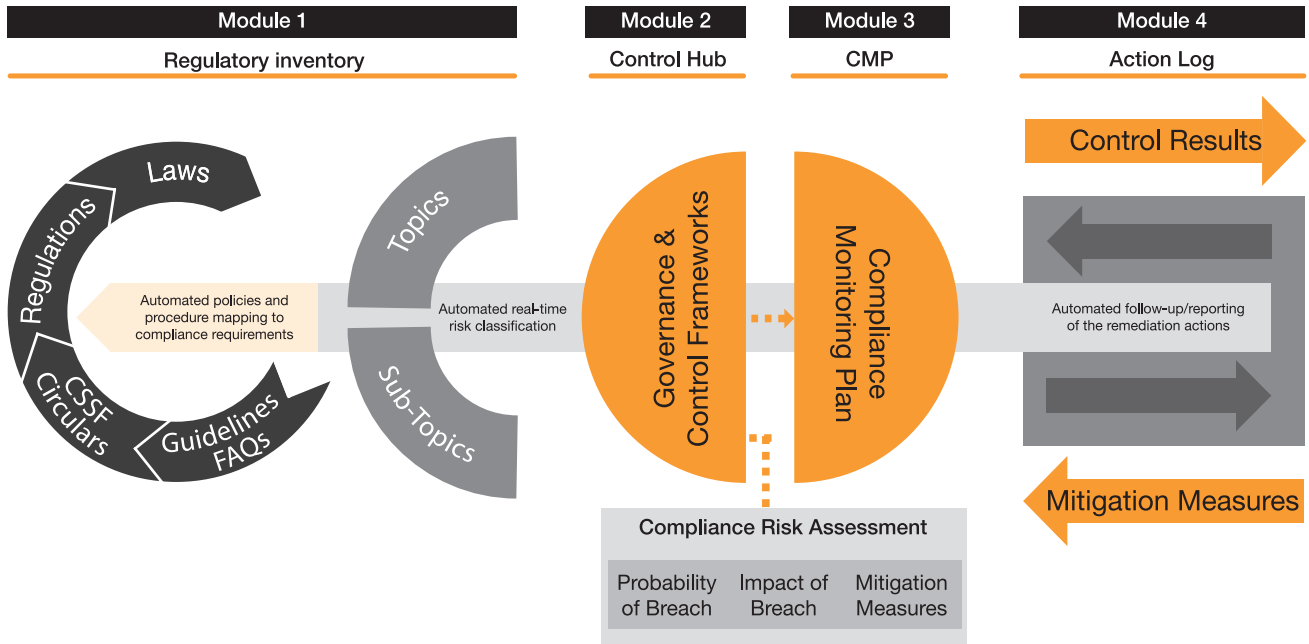
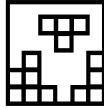


A workflow approach with a guided methodology to perform controls including the 4-eyes-principle, audit trail and evidence storage.



A planner and reporting module for conducting a multi-year programme and preparing meaningful reporting to your Senior Management and Board.

# How it works



## Regulatory inventory

We provide a set of regulatory requirements applicable to your legal entity's scope of activities.

1

## Control hub

You validate the PwC governance framework and compliance controls sets together with the compliance risk assessment for each activity.

2

## Compliance Monitoring Plan

You create your Compliance Monitoring Plan and perform the tasks based on the controls set and applicable regulatory requirements.

3

## Action log and reporting

You define remediation actions and report on your Compliance Monitoring Plan to your Senior Management or Board.

4

## Stay flexible

Define ad-hoc monitoring plans for specific purpose (e.g. CSSF remediation plan) or specific controls going beyond market standards (e.g. group driven controls set).

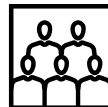


## Plan your work

Allocate work across your team members and keep track of compliance controls' achievement progress over time with our planner functionality.



# Why PwC Luxembourg



## Implementing accelerators to increase efficiency

Our Compliance Control Hub supports the Compliance Function to implement an effective and efficient Compliance Management System and to prepare meaningful compliance reporting to different stakeholders.

## Compliance expert team

We are a team of compliance specialists that **considers business and operational impacts** when assessing regulatory challenges on your activities, organisation and processes. **We offer our clients not only regulatory compliance regulatory advisory services, but also managed services.**

## For more information, please contact:



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