



If you answer **“Yes”** to the following, then Platinum Compliance are here to help!

Do you conduct Compliance Monitoring?

Are you fed up with using Excel or Word?

Are you frustrated from losing data after spending hours inputting?

Are you pulling your hair out because your monitoring is so administrative?

Are you wasting time searching for documents saved all over your firm's network, unable to find what you need?

Are you **READY** for a **CHANGE**?

## **YOUR GATEWAY TO ENSURING COMPLIANCE WITH REGULATORY REQUIREMENTS**

We have all been there with the pressures upon us when regulatory changes seem to occur so frequently and Platinum understand your frustrations with never having enough hours in the day.

Our approach is simple, to focus on what we do best with first-hand experience and to ease the burden on you and your teams.

## **PLATINUM HOLDS THE KEY TO UNLOCK THE GATEWAY FOR YOU..**

Platinum Gateway is a powerful and comprehensive compliance management tool enabling your firm to open the Gateway and take on the compliance monitoring programme within a secure on-line infrastructure.

Discover this elite system, smartly devised by Platinum Compliance for the Guernsey and Jersey regulatory framework. Everything you need to manage your ever-increasing compliance responsibilities either in house or in collaboration with the Platinum Team in a timely and cost-effective manner.

Get real results with this proven system with a track record of 6+ years in the UK used by Compliance experts, for firms within the financial services industry as a flexible and user-friendly tool which can be tailored to specific requirements of your firm and not an off-the-shelf one size fits all product.



Convenient



Quick



Secure



Efficient

## COMPLIANCE - SIMPLE, YET EFFECTIVE

Reports show business owners that choose to use a cloud service have seen growth in 96% of their projects. Automating tasks relieves time so team members can concentrate on other tasks that the software is not capable of managing.

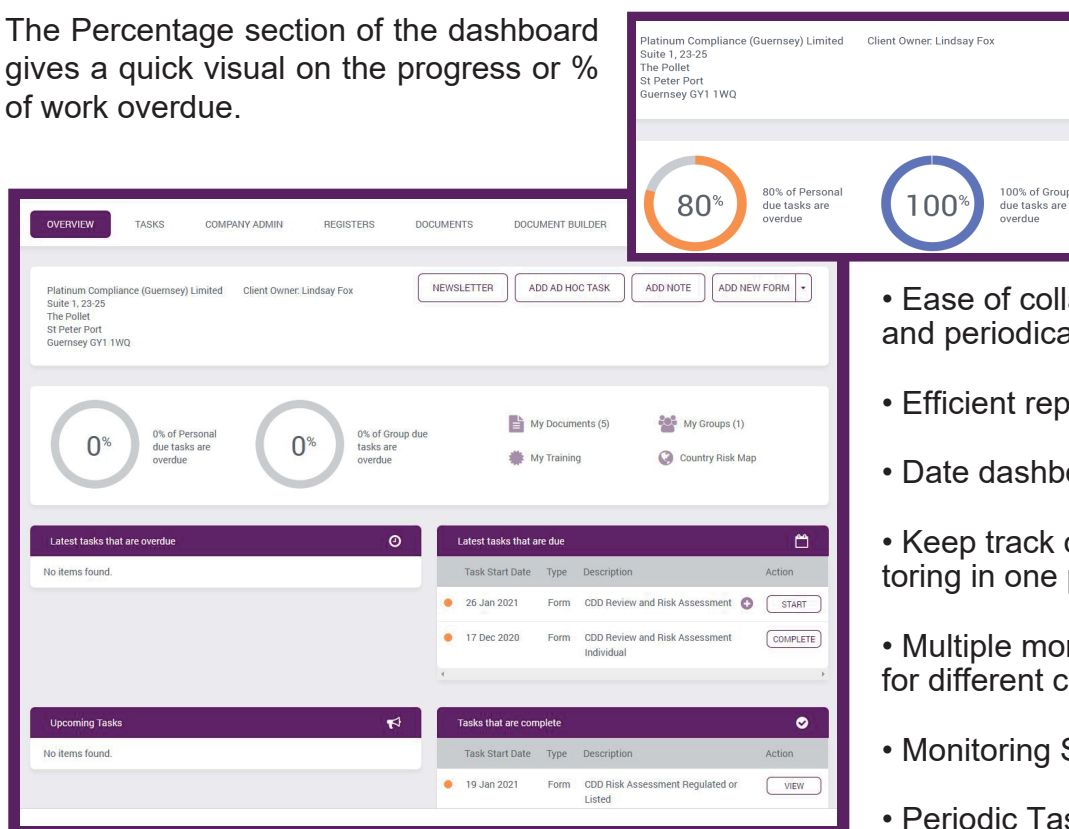
We must remember that Directors have a collective duty to be conversant with applicable legislation and regulation etc. This system assists the Board in understanding the requirements and provides them with information to assist in discharging their responsibilities effectively.

Not only is it an electronic monitoring system with all of the Guernsey regulations applicable to each industry built in, but it is also a depositary to hold all policies, registers, forms and procedures, and can create bespoke reports to ensure effective management information is provided. In addition, as an add-on to the system, there is the option to include all of our training programmes, or to write bespoke training courses which are accessible to all employees.

## THE DASHBOARD

The clear and easy to use dashboard ensures those who need to know can view and see the status at all times. The dashboard provides efficient reporting and in real-time by simply creating a PDF straight from the dashboard. It saves time as users no longer need to go to multiple sources for compliance activity.

The Percentage section of the dashboard gives a quick visual on the progress or % of work overdue.



- Ease of collaboration - real-time and periodically
- Efficient reporting
- Date dashboards save time
- Keep track of Compliance Monitoring in one place
- Multiple monitoring programmes for different clients.
- Monitoring Schedules
- Periodic Tasks or Ad hoc Tasks

## OTHER FUNCTIONALITIES INCLUDE:

A DOCUMENT LIBRARY – Providing a centralised library for your firms policies and procedures, templates and forms and other documents that you should be familiar with. Easily uploaded, permission controls, fully version history, categorised and quickly downloaded.

## AFFIRMATIONS

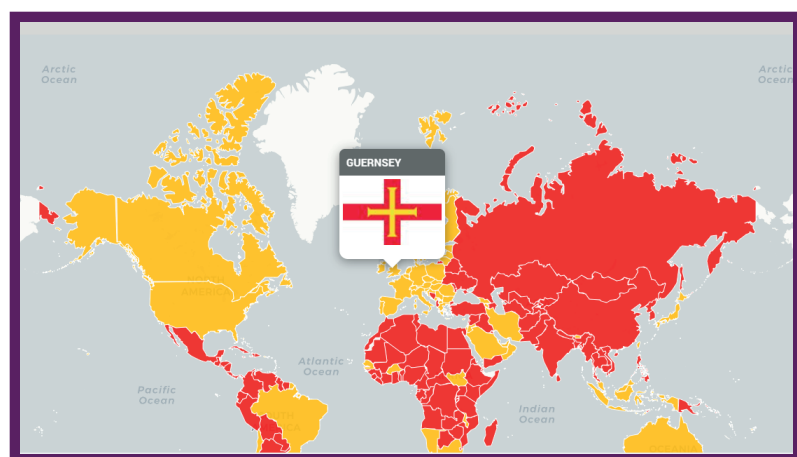
Affirmations are scheduled questionnaire that your employer requests are completed to ensure that you understand and fulfil your regulatory obligations. These are assigned to users as required and completion of affirmations is tracked on the Gateway.

## CUSTOMER DUE DILLIGENCE REVIEW AND RISK ASSESSMENTS

Customer Due Diligence forms for onboarding clients and periodic review forms – all fully customisable to suit your firms requirements. Offering a full and comprehensive review allowing for documents such as verification of identity or residence, statutory documentation to be attached and accessible all within the one place.

## HOW DOES DATA GET INTO A DASHBOARD?

You can add monitoring schedules, periodic tasks or ad hoc tasks in accordance with your business type and regulatory requirements. Alternatively depending on computer files, importing data can be upload.



## COUNTRY RISK MAP

We have embedded Platinum's Risk Rating structure in the country risk map, which is a reference point for the client on the ratings which are applied.

## PLATINUM GATEWAY TO TRAINING:

- Introduction to compliance
- The role of:
  - the Compliance Officer
  - the MLRO and MLCO
  - Directors Duties & Responsibilities
- Anti-bribery and corruption
- AML/CFT
- Enhanced AML/CFT
- Conflicts of Interest
- Data Protection
- Many other regulatory subjects

In addition, as an add-on to the system, there is the option to include all of our training programmes accessible to all employees. We can offer an onsite training service where our experts can work with junior (or senior) members of your team to train them up on compliance matters resulting in organic growth and reducing the need for compliance consultants.

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For more information or a demo of Platinum Gateway, please get in touch

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