



DEVLIN MAMBO

Empowering success;
driving innovation

Compliance Monitoring Platform





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Introduction

In the fast-paced and highly regulated world of asset management, the role of Compliance teams is more important than ever. Yet ever-growing regulatory requirements, often combined with budget pressures make managing Compliance responsibilities increasingly complex.

That's where the Devlin Mambo Compliance Monitoring Platform comes in. It's designed to be **the go-to solution** for ensuring your compliance monitoring team operates effectively and efficiently.

Our platform offers everything from comprehensive compliance monitoring to risk assessments and detailed reporting, so your team can work confidently and accurately.

The Devlin Mambo Compliance Monitoring Platform is **more than just a tool**—it's a game-changer. It helps Compliance teams easily manage their workloads, reducing time spent on administration and simple tasks and allowing Compliance professionals to focus on real value-adding activities.

Industry Issues



Spreadsheets and word documents remain popular tools for many companies to execute, document and report on their compliance monitoring plan.



Maintaining these documents can be time-consuming for compliance teams, leading to added administrative tasks in distributing compliance advice and monitoring actions.



Compliance monitoring management information is not customised effectively for a diverse and varied readership.



Using spreadsheets and word documents can heighten risks and compromise operational resilience. This could lead to the loss of confidential information and unauthorised access or modifications to documents.

Our Solution

Our Compliance Monitoring Platform enhances efficiency instantly by establishing a unified, secure, user-friendly, and all-encompassing compliance environment.



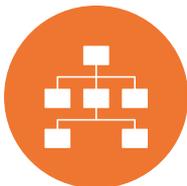
Secure, Cloud Based Solution



A single location to access company compliance monitoring information



Intuitive interface designed by industry professionals



- Hierarchical workflow management
- Targeted Information - Right People at the Right Time
- Tailored dashboards and reporting
- Increased visibility and governance



Key Benefits

Our Compliance Monitoring Platform is designed to enhance your compliance monitoring function enabling you to focus on more value-added activities:

- **Streamlined Collaboration and Communication** is at the heart of our platform. Tasks can be assigned and progress tracked, while managers can offer feedback and approval through an internal messaging system.
- **Automation leads to Efficiency Savings.** Automated reminders reduce administrative tasks and follow-up emails. Report production and refreshing test scripts become more straightforward.
- **Stronger Controls** help create a robust environment for your compliance team and the wider organisation.
- **Access and Security** are simplified with clearly defined permissions. This ensures that only relevant individuals in your organisation can view, edit and approve documents. The platform also offers full audit trail capability.
- **Simplified Reporting and Management Information** gives users access to pertinent information and metrics. Automatically generated user-defined reports ensure that meaningful MI is readily available.

Key Functionality



Inputs



Completely customisable to suit your testing strategy, assign to entities and/or business functions, and align with applicable regulations and policies.



Risk assessments are tailored, revised, and evaluated according to your specific criteria to determine the testing frequency.



Policy library users have the ability to upload policies and map the policies as necessary.



Tailor test scripts for each area or function and document the outcomes of the conducted tests.



A CMP Timetable is tailored based on your risk-based testing frequency. It allows filtering by entity, theme, and function, providing estimates of time needed.



Outputs



Tracking actions and recommendations involves ownership, current status, and suggestions from prior monitoring.



Assigning actions/tasks and recommendations to particular business areas and team members, while capturing task inputs on the platform.



Prompts and reminders can be autogenerated, substantially reducing administration time.



CMP Reports provide tailored management information and reporting outputs to meet your requirements.



Resource allocation functionality, increasing collaborative workflow capabilities.

Why Devlin Mambo?

SIMPLICITY

Our products aim to **simplify processes** and encourage effective governance.

We prioritise **practical**, value-added features over complex solutions.

Our solutions are **crafted to integrate** with your business processes without the need for extensive implementation projects.

We offer collaborative setup **assistance and training**, enhancing efficiency from the outset so you can start saving time and money straight away.

EXPERTISE

Our experts **understand asset management** challenges, work closely with asset managers, and integrate **industry knowledge** into solutions that can mitigate key risks.

We are a diverse team consisting of software developers and **industry professionals**.

Our **experienced** development team come from backgrounds in FinTech, User Insights, eCommerce and EduTech sectors.

Based in London and Edinburgh, we provide **real-time accessibility**.



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Interested in seeing how it works?

Get in touch!

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