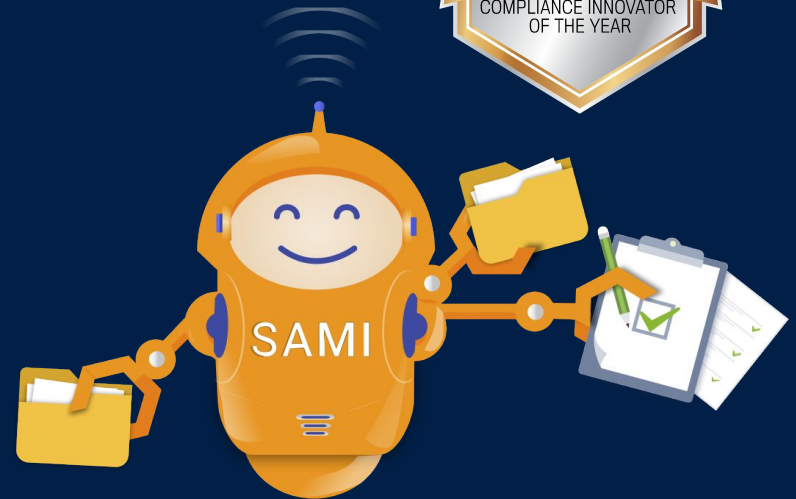


Prepared  
January 2020

a d v i c e  
**REGTECH**

# Advice RegTech SAMI overview

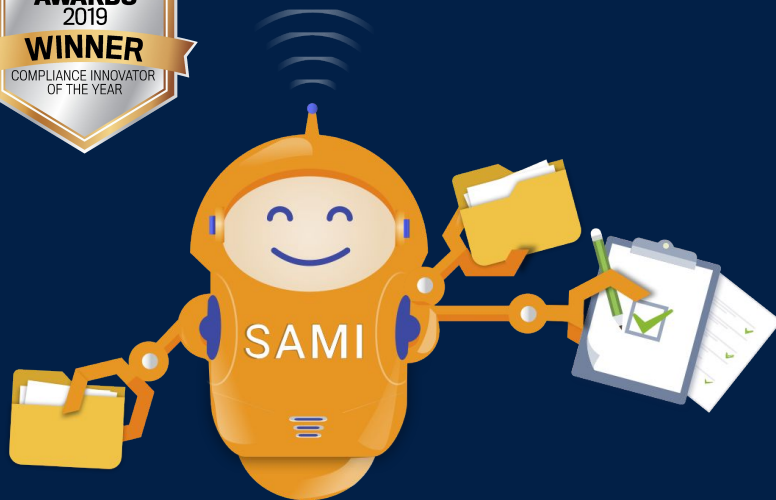


## About Advice RegTech

- 1 Award winning RegTech specialist
- 2 Presented at ASIC's inaugural RegTech Showcase as well as ASIC's Aug 2019 Financial Advice File Review Symposium
- 3 Founding member of the RegTech Association
- 4 Domain expertise - Committed founders with deep industry experience in Australia & globally
- 5 Scalable, integrated 'compliance tech', not limited to SoAs

Advice RegTech is at the forefront of regulatory compliance tech for the financial advice sector





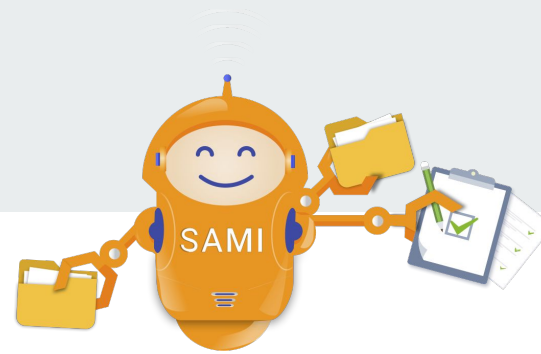
# SAMI

## RegTech Compliance workbench

Automated assistance for compliance reviews

Real-time, pre-emptive, proactive risk monitoring





## SAMI

### Enabling efficient, effective compliance checks, supporting pre-vet, audit and remediation

- 1 System-of-record for compliance reviews
- 2 For multiple file documents and data feed checks eg Fact Find, Risk Profile, File notes
- 3 Best-in-class RegTech solution - awarded Compliance Innovator of the Year 2019
- 4 User-friendly, interactive, integrates
- 5 More time to focus on key issues and clients.

# Summary of how SAMI works - a fusion solution

combining automated efficiency, supporting human judgement

## 1. Prepares

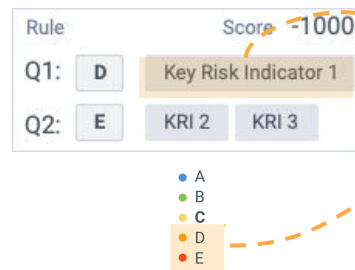
**SAMI categorises, and integrates**



- System of record
- Integrates
- Handles multiple docs and file types

## 2. Assesses

**SAMI checks, scores, risk tags**



**SAMI**

- Pre-assesses
- Highlights
- Pre-scores
- Risk tags
- Suggests actions
- Enables review and comments
- Pre-populates report

## 3. Verify

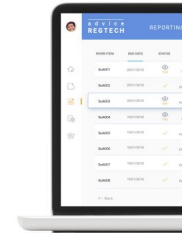
**Easy and enjoyable to use**



- Compliance workbench and reporting solution enabling efficient, effective reviews
- Interactive, supportive
- Enables consistency
- Workflow convenience

## 4. Reports

**Real time reporting  
Efficient workflow  
Supports coaching**



- Real-time visibility
- Pre-emptive, Proactive
- Integrates
- Scale productivity

## SAMI - Principles

Transparent

**Verifiable,**  
Not hidden  
from auditors  
behind a  
'black box'

Trackable

**Look  
through,**  
drill-down to  
the input and  
outputs

Conscious  
Design Thinking

**Continuous  
tracking**  
And audit logs  
of permission-  
based  
overrides

**Current &  
compliant**  
with privacy  
and capture  
regulatory  
obligations

**Fit for  
purpose,**  
initial and  
ongoing to  
mitigate bias,  
unintended  
consequences

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# More info

Please contact  
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