

Enabling efficient, effective advice file reviews & case workflows

advice
REGTECH



SAMi is a fit-for-purpose AFSL compliance and reporting solution

The SAMi (Supervision and Monitoring Intelligence) system enables efficient, effective internal audits and oversight of quality of advice and advisers. It supports pro-active, pre-emptive compliance, risk & issues management and uplift.

File reviews streamlined

combining automated efficiency, supporting human judgement

Benefits of the SAMi Solution

- 1 Fit-for-purpose supervision and monitoring intelligence system for AFSLs.
- 2 Proven system for advice file audits, including with large superannuation funds - from general advice to comprehensive advice file reviews.
- 3 Secure cloud based, ISO 27001 certified solution on the Microsoft Azure platform.
- 4 Customised to your question sets, risk tags, workflow and integration requirements.

1. Prepares

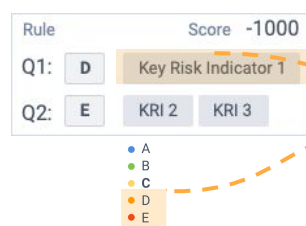
SAMi categorises, and integrates



- System of evidence for Advice file reviews - paraplanning, prevet, audit, thematics, remediation, incidents (IDR, EDR) reporting
- Processes multiple document types and file formats including .docx, .xlsx, PDFs, images and audio files
- Auto-categorisation of over 40 document types
- Integrates with CRMs

2. Highlights

SAMi highlights, scores and risk tags



- Highlights relevant sections on the file review docs and links to the question-set/s
- Risk tags and demerits
- Action & annotation features
- Pre-formats compliance report
- Facilitates workflow steps and tracking
- AI doc summarisation
- Audio scan transcripts and relevant highlights

3. Verify

Easy to use, efficient workflow, supports coaching



- Enables consistency of assessment by reviewers - with inbuilt training and guidance
- Workflow convenience - SAMi makes it easy for human experts to assess, override and add notes and actions
- Permissioned access and visibility at workflow stages
- Secure case chat within application

4. Reports

Insights at a glance



- Real-time visibility of issues, trends and insights on key questions, risks & files
- Dashboard charts and Reporting tables - with drill down functionality, filters for permissioned and specific visibility, benchmarking, and trends over time
- Incidents EDR, IDR ASIC-compatible complaints reporting
- Exports for Supervision & Monitoring Reporting