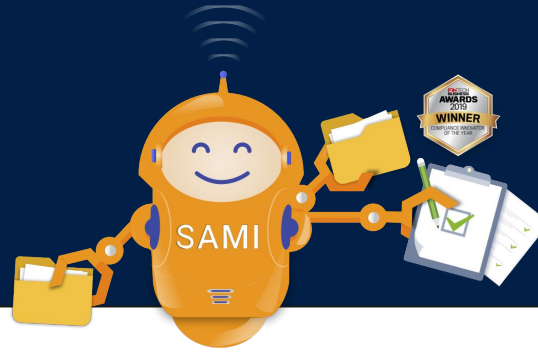


Efficient, effective AFSL & AR Management, Registers & Incidents

advice
REGTECH



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

The SAMI (Supervision and Monitoring Intelligence) system enables efficient, effective AFSL, AR and Practice Management.

It supports pro-active, pre-emptive compliance, risk & issues management and uplift.

Benefits of the SAMI Solution

- 1 Fit-for-purpose AFSL management and compliance system - registers, AR on/offboarding, email & case management, Incidents, internal QA reviews.
- 2 Proven system for monitoring & supervision obligations, inhouse quality assurance advice file quality, including with leading AFSLs and superannuation funds.
- 3 Customised for E2E advice efficiency, for question sets, risk tags, workflow and integration requirements.
- 4 Secure ISO 27001 certified cloud based solution on Microsoft Azure.

Practice Management streamlined

1. AR onboarding

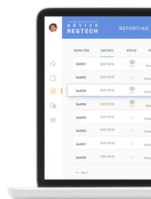
SAMI CRM for AFSL, AR onboarding, record keeping, secure workflows and communications



- Solution for your AFSL practice management
- AR onboarding / offboarding
- Due diligence
- Secure workflows, communications, record keeping
- Pre-vets & audit history of evidence

2. Registers

Registers for Conflicts of Interest, Policy Schedules and Management



- AFSL and AR Registers including Conflicts of Interest
- Exports for Supervision & Monitoring Reporting, and visibility for Management
- Adviser Risk Scores for pre-emptive and proactive coaching and scheduling of audits

3. Incidents

ASIC-compatible Complaints uploads - IDR EDR management



- Incident management - IDR, EDR deadline reminders, record keeping, reviews & workflows
- Time saving
- ASIC-compatible complaints reporting.
- Facilitates workflow steps and tracking

4. Reporting

Dashboard trends, reporting drill down and insights for coaching & uplift



- Real-time visibility of issues, trends and insights on key risks & data
- Dashboard charts and Reporting tables - with drill down functionality, filters for permissioned and specific visibility, benchmarking and trends over time