

EXTERNAL COMPLIANCE OFFICER



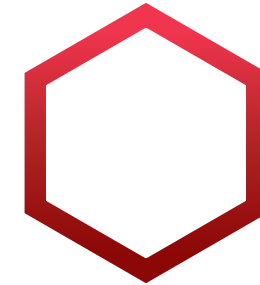
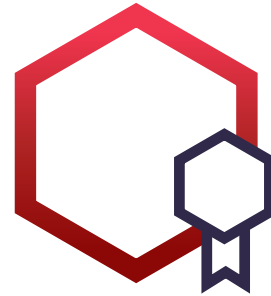
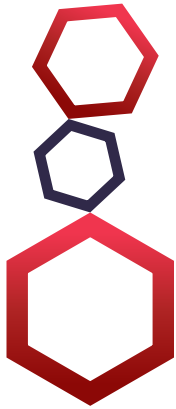
External **Compliance Officer**

As a financial institution, you need to have an effective and independent compliance function. The required knowledge and capacity are not always available internally, but the function needs to be staffed with the right expertise. The use of an external compliance officer can offer a solution.

Effective, independent compliance function

Your day-to-day business is complex enough as it is. We want to make compliance simpler. You can contact Projective Group if you want to outsource your compliance function or if you want us to support or advise your own compliance officer. Our compliance specialists carry out the compliance function in an independent, proportionate and sustainable way. Instead of a one-size-fits-all approach, we take into account the size, maturity and structure of your individual organization.





Balance

Compliance should be tailor-made. We can help you balance regulatory expectations with the feasibility and commercial objectives of your organization.

Security

We closely monitor legislative and regulatory developments. We do this using our compliance software, Ruler. This ensures that you do not miss important developments and are not faced with unwelcome surprises.

Peace of mind

Our support gives you peace of mind. So you can focus on the things you are good at.





Our compliance officer knows how to properly translate complex matters into practice. Solicited and unsolicited advice is substantiated, professional and tailored to the needs of our organization.

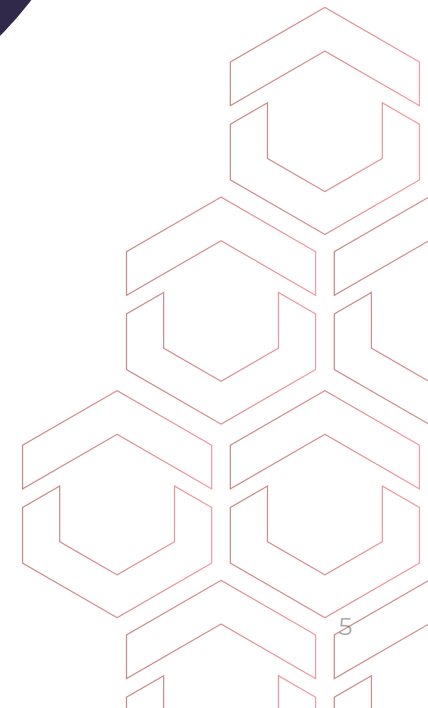
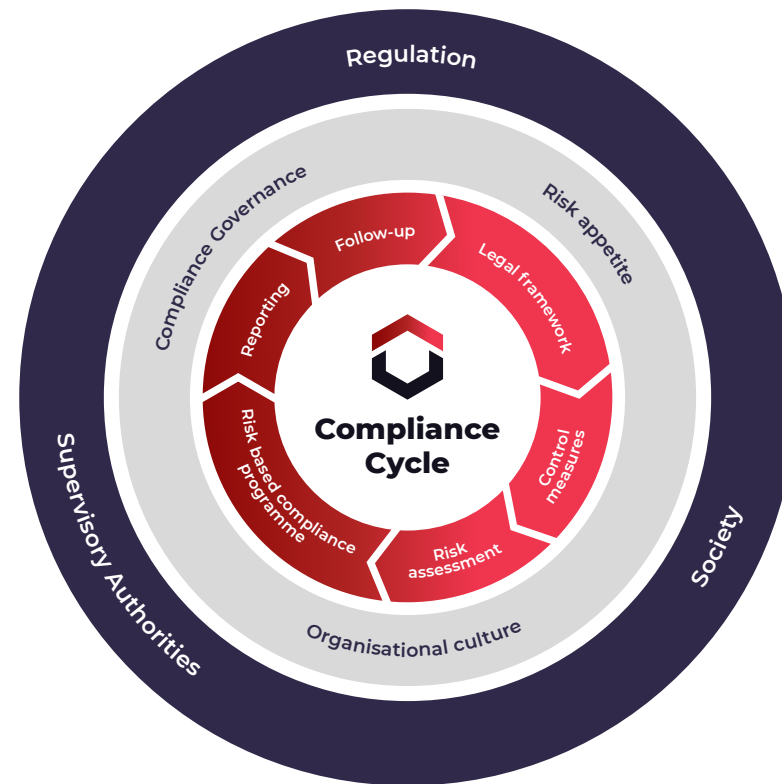
– Insurance company

Compliance cycle

As external compliance officer, we adopt a risk-based methodology, applying the compliance cycle. Based on this cycle, we annually draw up a risk-based compliance plan.

Continuity

Your external compliance officer can always rely on a team of colleagues to ensure the continuity of the compliance function. Our compliance officers use best-practice working methods supported by tools, formats and standards.



What can you expect from your External Compliance Officer?

As an external compliance officer, we will carry out at least the following activities. We will coordinate these activities with you and include them in the annual compliance plan.



Assisting in drafting and periodically reviewing and monitoring compliance policies and procedures.



Proactively informing you of developments in financial laws and regulations. The impact of these on your organisation and the actions needed to comply with them.



Promoting awareness and providing training for your employees. Training can also be provided through our training institute, The Ministry of Compliance.



Advising on issues including the implementation of laws and regulations, management of compliance risk and communication with regulators.



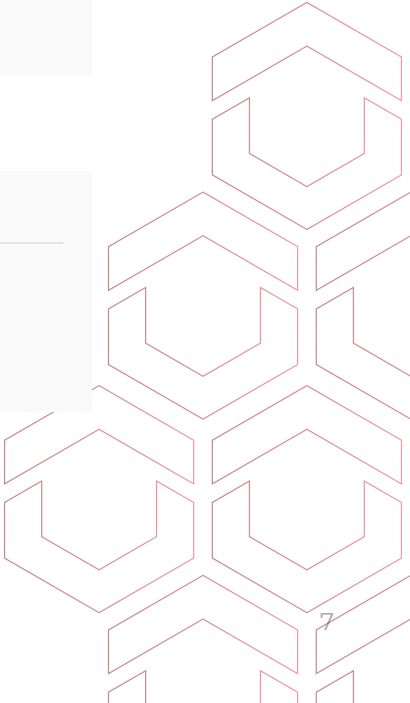
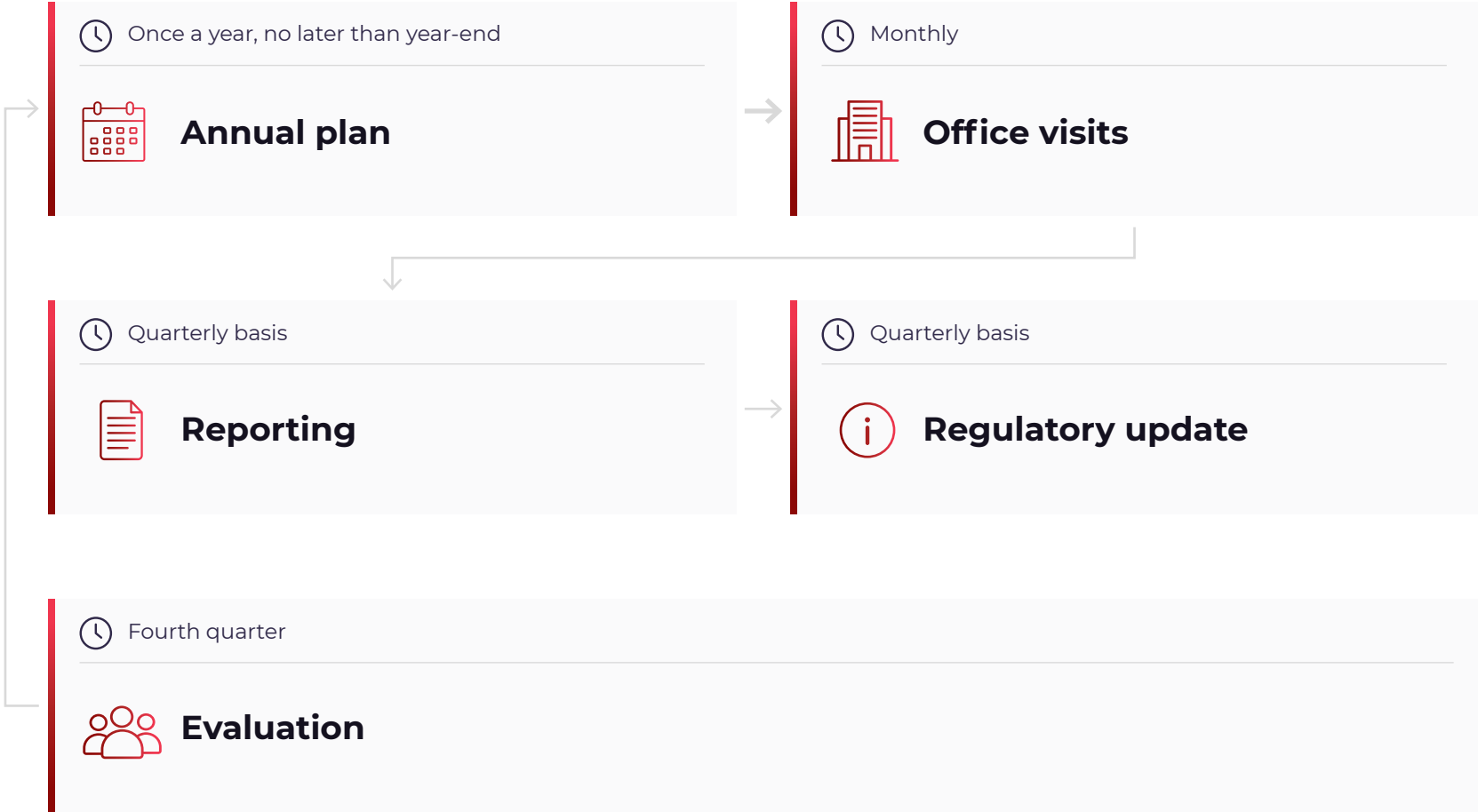
Monitoring the management of compliance with obligations and internal regulations.



Periodic reporting on, among other things, the (result of) work performed and the level of control of compliance risk.



Implementation - Annual cycle



Compliance advice

If you have your own compliance officer, you can also choose to have them supported by Projective Group. As a compliance advisor, we offer your compliance officer structural support in carrying out compliance activities. We tailor our services and activities to your needs and you choose in which of the following areas you need support:



Policies en procedures



Laws and regulations



Training en awareness



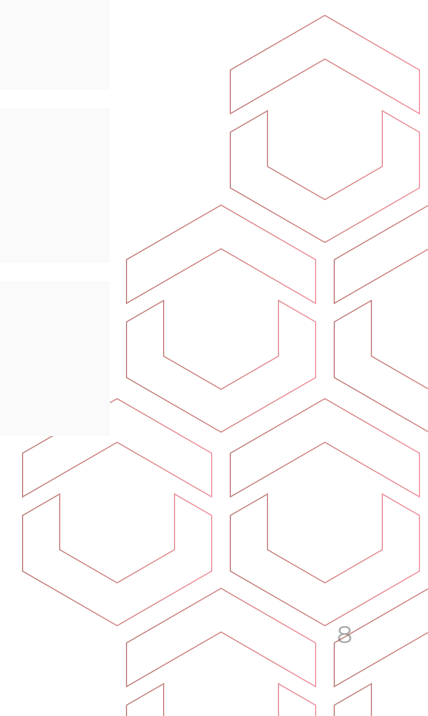
Advise



Monitoring



Reporting



Our Team

Thanks to our close-knit and diverse team, consisting of specialists with experience as regulator, accountant, lawyer, compliance officer, risk manager and consultant, we always have sufficient expertise.

Knowledge sharing is highly valued at Projective Group. By drawing on each other's knowledge and experience, we ensure that we always provide the best advice to our clients.





Our compliance officer is easily approachable, capable and a pleasure to talk to. He takes our organization to the next level, making us feel comfortable when it comes to compliance with laws and regulations.

– Investment fund manager

Compliance Annual Plan

As your external compliance officer, we take a well-prepared approach. Each year, in consultation with you, we draw up an annual risk-based compliance plan to help us determine our activities and budget for the coming year. The plan includes at least the following components: advice, monitoring, policy, training and implementation of laws and regulations.

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Reguliere Compliance activiteiten - high level overview

Context

Awareness Beleid en procedures Nieuwe / gewijzigde wet- en regelgeving

Doorlopend / overig

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Compliance planning

| Onderwerp | Toelichting activiteit | | | | | Q | Deadline |
|---------------------|------------------------|---|---|---|---|----|----------|
| Wederkerend | | | | | | | |
| | | ✓ | ✓ | ✓ | ✓ | Q4 | |
| | | ✓ | ✓ | ✓ | ✓ | | |
| | | ✓ | ✓ | ✓ | ✓ | | |
| | | ✓ | ✓ | ✓ | ✓ | | |
| | | ✓ | ✓ | ✓ | ✓ | | |
| Prioriteiten | | | | | | | |
| | | ✓ | ✓ | ✓ | ✓ | Q4 | |
| | | ✓ | ✓ | ✓ | ✓ | | |
| | | ✓ | ✓ | ✓ | ✓ | | |
| | | ✓ | ✓ | ✓ | ✓ | | |

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Prioriteiten

Risicobaseerd

Op basis van een risicobeoordeling zijn prioriteiten bepaald. Deze risicobeoordeling is onder andere gebaseerd op de volgende aspecten:

- Interne- en marktontwikkeling
- Toezichtagenda en prioriteiten van de toezichthouders
- Uitkomsten monitoringactiviteiten

Ontwikkelingen kunnen geven tot herprioritering. Per onderwerp is aangevinkt welke activiteit(en) de compliance functie hiervoor zal uitvoeren. Zie bijlage 1: Uitwerking prioriteiten.

| Compliance risico | Motivatie | | | | |
|-------------------|-----------|---|---|---|---|
| | | ✓ | ✓ | ✓ | ✓ |
| | | ✓ | ✓ | ✓ | ✓ |
| | | ✓ | ✓ | ✓ | ✓ |
| | | ✓ | ✓ | ✓ | ✓ |




Compliance reporting

As your external compliance officer, we will report on the outcomes of our work on a quarterly basis. In this report, we will include the status of identified compliance risks and describe to-do's and relevant developments.

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1. Management samenvatting

| Onderwerp | Vorige status | Huidige status |
|------------|---------------|----------------|
| [Redacted] | ● | ● |
| [Redacted] | ● | ● |
| [Redacted] | ● | ● |
| [Redacted] | ● | ● |
| [Redacted] | ● | ● |
| [Redacted] | ● | ● |
| [Redacted] | ● | ● |




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2. Compliance beheersomgeving

| Onderwerp | Opzet | Werking |
|------------|----------------|----------------|
| [Redacted] | [Progress bar] | [Progress bar] |
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| [Redacted] | [Progress bar] | [Progress bar] |
| [Redacted] | [Progress bar] | [Progress bar] |
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| [Redacted] | [Progress bar] | [Progress bar] |
| [Redacted] | [Progress bar] | [Progress bar] |
| [Redacted] | [Progress bar] | [Progress bar] |

Vorige status
●

Huidige status
●




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6. Uitkomsten compliance monitoring

Vorige status
●

Huidige status
●

| Onderwerp | Oordeel | Bevindingen | Aanbevelingen |
|------------|---------|-------------|---|
| [Redacted] | ● | [Redacted] | 1. [Redacted] 2. [Redacted] 3. [Redacted] |
| [Redacted] | ● | [Redacted] | 1. [Redacted] 2. [Redacted] 3. [Redacted] |
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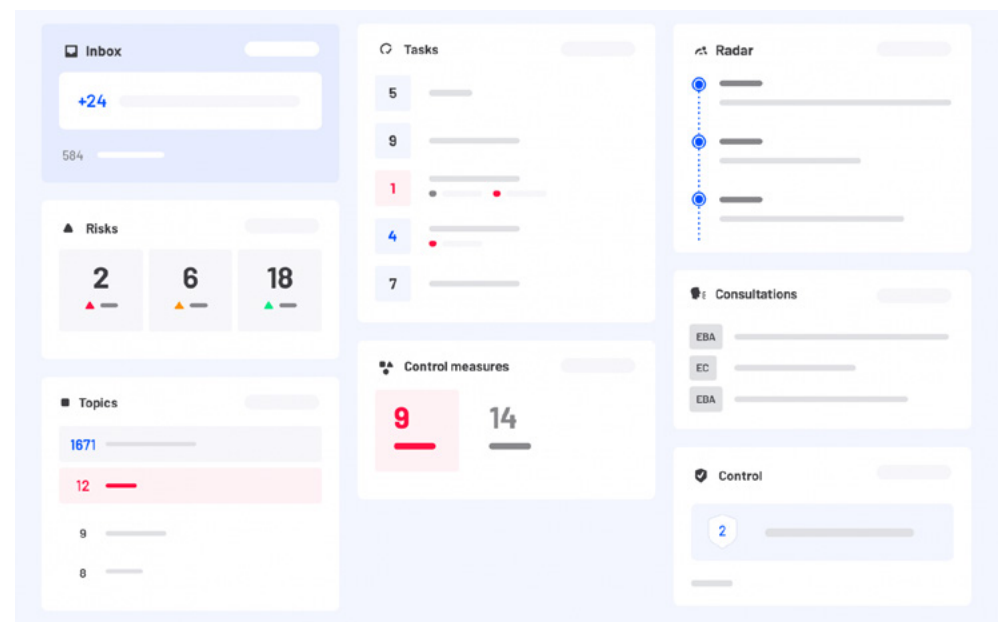



Ruler compliance software



We carry out our activities as an external compliance officer using Ruler. Ruler provides a clear legal framework tailored to your organization's regulatory license.

Ruler provides an overview of all relevant laws and regulations at a glance, so that you always have an up-to-date insight into your organization's level of compliance. With Ruler, you can easily and transparently demonstrate your compliance to external stakeholders. All actions required to comply with applicable laws and regulations can be documented and monitored. Ruler contributes to a structured implementation of the compliance function and the effective and efficient execution of compliance activities.



[Read more](#)



Training & Awareness



Creating awareness and updating knowledge within your organization is essential if you are to comply with laws and regulations. For training and awareness we can use our own training institute, the Ministry of Compliance.

Read More →





We are ready to get started.
Are you?

www.projectivegroup.com

Belgium, United Kingdom, The Netherlands,
France, Germany, Switzerland.

