



**LA MEER INC.
A REGTECH
FOR
FINANCIAL
MARKETS**

**INTEGRATED GRACE SUITE OF
SOLUTIONS
FOR ALL YOUR CLIENT MANAGEMENT,
GOVERNANCE, COMPLIANCE AND RISK
MANAGEMENT NEEDS**

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About Us

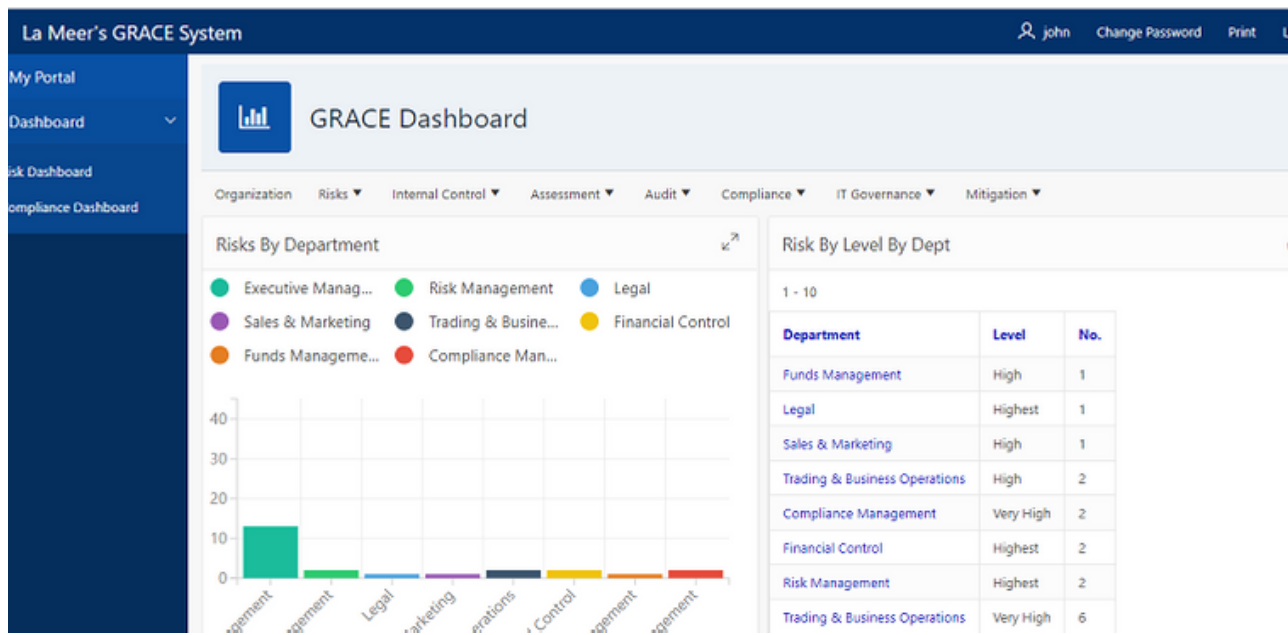
La Meer Inc. is a Silicon Valley based Regulatory Technology Company (Regtech) specializing in integrated solutions for Financial Markets. Our Team is made of experts with deep financial industry backgrounds who understand the many nuances of the changes in regulations from the Financial Crisis and address them through technology

The La Meer Leadership Team is made up of visionaries and seasoned veterans from the financial industry with experience in building complex financial market systems that drive value and change using technology

La Meer Team comprises of people with deep subject matter knowledge in financial services and technology from Citibank and come with their extensive experience in building and implementing complex systems like the Bombay Stock Exchange On-line trading, Credit Data warehouse, Derivatives Technologies, Integrated Treasury, Corporate and Private banking areas from their experiences.

La Meer Inc. offers the GRACE suite of solutions to address regulations, risk, compliance and client management requirements in US, EU, UK, and Canada

GRACE incorporates the latest requirements from regulators and changing trend in client behaviour. GRACE is a state of the art system for Banks, Broker-dealers, Wealth Advisors, Hedge funds and pensions



About GRACE

The GRACE platform for **Governance, Risk and Compliance for the Enterprise** offers **Integrated By Design but Modular by Approach** to allow firms to create an extensible custom product suite with the right features to address all their regulatory compliance, governance, risk management and client management needs and meet the immediate business goals, while at the same time allowing for additional functionality to be easily switched on through configuration as business needs change. GRACE's modular architecture allows firms to buy and only pay for the modules they need and have the benefits of a state of the art custom solution, delivered through configuration of the modules needed to suit their own requirements.

The GRACE platform is built on an industry-standard Oracle stack, and can be deployed on-premises (where Oracle is available), in the cloud, and in private/hybrid certified cloud environments and manages requirements around availability, reliability, redundancy, resilience, data protection and data privacy are all inherent in the platform. The platform is ready to use from day one, reducing costs and increasing value in the organisation to create an immediate return on investment. It is a pay as you go service. Turning on new modules is just the turn on a button so none of your existing users will have any change.

GRACE is available in multiple jurisdictions, including the United States, Canada, UK, Switzerland, and throughout the European Union, ensuring that data remains within the customer's jurisdiction to meet regulatory and end-customer needs. Data privacy, data protection, security, reliability, and availability are taken seriously and have been designed into the product from the ground, up. GRACE can collaborate across departments, locations, business lines and even countries. GRACE's multi-lingual capabilities enable it to be deployed worldwide. GRACE can be easily integrated to source systems to enhance its capability to include all the data needs

The GRACE Solutions Suite

GRACE Enterprise GRC



GRACE Enterprise GRC offers a simple way to implement enterprise wide governance, risk and compliance management process that includes setting up policies and procedures, get attestations, conduct risk assessments, monitor compliance processes, set up and monitor internal controls, conduct audits, record and manage loss events, report and monitor KRIs, manage IT infrastructure and vendors and identify risks and issues in a standardized way to bring risks on a powerful dashboard and monitor their mitigation

GRACE for Integrated Client Management for Reg BI



GRACE Integrated Client Management offers an end-to-end solution that helps manage clients from the point of prospecting, product governance, client risk profiling and scoring, disclosures management, conflicts management, CRM, recommendation sharing and documentation, suitability review, client due diligence, AML, portfolio review, client trade monitoring, portfolio review, fees and billing reviews, client reporting, client communications, complaints and issues management with portals for client management, compliance groups and clients to address the requirements from Reg BI, Mifid II and Client Focussed Reforms

GRACE for Compliance Management



GRACE helps you manage compliance within the organization to address SEC, FINRA, FCA regulatory expectations in a simple but effective way. Policies, Procedures, online attestations, training, regulatory reviews, online approval requests for gifts, political donations, outside activities, code of ethics, auto approvals and rejections, personal trade monitoring are part of regulatory expectations for compliance . Online Calendars and assignments keep track of all compliance obligations, Reminders ensure everyone stays on top. Documents, supporting data, Notes, Issues loaded against compliance items, Review and Escalation of violations can ensure items are tracked as they occur. The integrated compliance dashboard tracks and monitors violations, risks and issues in a standardized way to bring risks on a powerful dashboard and monitor their mitigation

GRACE for Anti-Money Laundering Monitoring



Monitoring financial crime monitoring is fundamental for prevention of money laundering and international terrorism. GRACE AML automates client monitoring against worldwide sanctions to generate risk profiles through automatic connectivity with Dow Jones . It meets Customer Due Diligence Rule expectation of monitoring beneficial ownership in sanctioned entities, adverse media and identify and monitor transactional data to identify suspicious transaction patterns

GRACE for Trade Monitoring



GRACE Trade monitoring automates the process of trade aggregation from various data sources. It allows red-flagging and identifying violating trades based on business rules, and can mark up the issues in them. The aggregated trade data can show pattern of insider trading monitoring and client best execution discrepancies. It helps identifying conflicts in personal trades, bad allocation for clients etc.

GRACE for Senior Management Certification Regime



GRACE for Senior Management Certification Regime addresses the SM&CR requirements in UK and Europe to help financial organizations set up the process for defining Roles and Responsibilities in the organization, define the Policies and Procedures for the business they are in, and set up attestation reporting processes to ensure that the senior management is aware and attests to the regulatory expectations from each of them. It keeps track of all of the certifications as proof of organizational awareness and conformance.

GRACE for IT Risk / Data Privacy Management



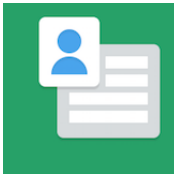
GDPR, California Consumer Privacy Act, Canadian Privacy Act PIPEDA and other worldwide Privacy Laws that are being released, mandate organizations have stringent security over client information whether being managed internally or by vendors, Client consent to the use of their data and proper processes are in place for breach management GRACE systems help manage the process of data inventory management, IT Policies and Procedures, Data Protection Impact Assessments, Incident Management Client Consent management and Vendor risk management to meet regulatory expectations

GRACE for Vendor / Third Party Risk Management



GRACE Vendor risk helps manage information on all third party / vendors, their locations, SLAs and conduct due diligence on their processes. Periodic / continuous monitoring of vendor's data management processes, business continuity, security management and compliance to regulatory expectations are necessary to identify risk trends and take corrective action

GRACE for Broker-dealer's Branch / Registered Representative Monitoring



GRACE Broker-dealer helps examine and audit multiple branches and registered representatives to their adherence to regulations, identify conflicts of interest, and any risks to their clients. It helps monitor Outside Activities of Representatives from Public information sources. Findings from examinations can identify risks across these and manage mitigation. Feeds from public databases like Debts, Liens, Criminal violations, can be brought into the system in an automated way to ensure oversight

GRACE for Operational Due Diligence



GRACE helps identify investible organizations for the institutional investors like pensions, endowments, fund of hedge funds and private wealth management firms among alternate investments. It helps you manages the process of conducting operational due diligence on these firms, their funds, and service providers and creating a central repository of information including reviews, reasons for inclusion into portfolio, or rejection. On going monitoring and site visit information allow risks to be identified as they happen and help protect the value of investments by mitigating them early.

GRACE for Training



The GRACE Training system allows to systematize the training processes by setting up calendars for training, assign it to the various groups and ensure they get trained through various online courses for the organization. Training material from the organization can be set up in the system so customized training on the latest regulatory expectations and the organizations own process can be brought to the staff on an ongoing basis. Training dashboard can enable monitoring that everyone in the organization is trained on all the necessary aspects

THE GREAT VALUE THAT GRACE BRINGS TO YOU

Web based/tablet enabled/mobile GRACE makes client, risk and compliance management easy and organized

STREAMLINED PROCESS FOR DATA MANAGEMENT

GRACE and its seamless and streamlined approach to data gathering, workflows, alerts, and business as usual process allows the organization to implement a standard process for managing all aspects of client, risk and compliance mana

CENTRALIZATION OF INFORMATION WITH WEB ACCESS

Provides huge advantages in reducing wasted dollars in manual work to integrate information for organizational use, regulatory examinations and analytics to extract customer understanding, risk monitoring, inefficient processes, work loads, status monitoring and workflow processes.

VISIBILITY AND TRANSPARENCY

Staff and senior management have a powerful tool for visible real time information and dashboard of risks in governance, clients,risk management, and compliance with comprehensive analytics and drill down features .

COLLABORATION AND MANAGED ROLL OUT

By having standardized processes and ability to add and roll out new functionality without disruption, many more users of different types can be included into the system across departments, locations, vendors, clients , business lines and even countries.

EASY INTEGRATION WITH SOURCE SYSTEMS

With the GRACE architecture's ability to be inclusive and bring in data from various internal and external data sources, the ability of the organization to add new information that is needed by staff , address new regulatory requirements and grow with the system is a great advantage

EARLY AWARENESS OF RISK TRENDS

Trends of risk can be very quickly identified with visual analytics , dashboards and drill downs and risk mitigation steps can be taken early to avoid regulatory fines, reputation risk and legal issues

TABLET ENABLED, MOBILE ENABLED SYSTEM FACILITATES INFORMATION AVAILABILITY

The ability of staff and clients to use the information anytime any where allows them, record information, approve, get alerts, look at their information whenever they want and where ever they are.

REGULATORY CHANGES ARE A REALITY

GRACE's flexibility allows the businesses adapt to all the changes in regulatory landscape as new rules come and changes come in that needs change in business process or reporting to regulators or record keeping obligations.

ORGANIZATION OWNERSHIP OF DATA

Organizations suffer when key staff leave Information is scattered and data could be lost. GRACE becomes the single central repository of documents, data, and processes, enabling continuity even when key people leave the organization so no information loss is felt.

ENORMOUS COST SAVINGS

Enormous costs savings in unwanted labor for audits and examinations, avoid regulatory fines, legal costs, reputation risks and empowers the organization in managing risks.

SINGLE SOURCE OF TRUTH

Will all documents, data, reviews, audit trails, analytics and easy to use queries and reports, GRACE becomes the central repository of the Single Source of Truth for the organization and avoids duplication and inefficiencies from trying to find out the latest information.

ONLINE ANALYTICS

By having powerful analytics , search and retrieve tool, information can be had for any decision making anytime / anywhere without waiting on anyone to provide it to you

Our Consulting Services

Strategic Consulting



La Meer Offers Strategic Consulting Services to help you strategize your technology architecture, solutions architecture and help choose supporting vendors as well to integrate to make the big whole. We can also put together your entire process, bring in the right eco system of partners, technology and services providers to help you addressing regulatory compliance comprehensively

Training



La Meer Offers Training for GDPR, California Privacy Act, Canadian Privacy Regulation (PIPEDA), AML (Anti-Money Laundering) and other regulatory requirements. Training can also be customized to each institutions needs

Business Consulting



We have strong subject matter expertise on financial markets, regulations, risk, compliance, governance, client management for the segments we work in – banks, broker-dealers, wealth advisors, hedge funds, institutional investors. We can help you define your business requirements in a consistent and comprehensive manner and work with you to help you optimize your processes

Implementation Support



All our products can be deployed as is. We understand you will have have need for changes and customization that can help you make best use of our systems adapted to your own organizational needs by integrating it with your internal systems. Our Implementation and Systems Integration Services team is ready to help you with it. We can also help you with other integration requirements

Compliance and Legal Help through our Partner network



We have a strong partner network of Compliance Advisors and Legal partners that can also help you address your regulatory challenges .



La Meer Inc.

A Risk and Compliance Management company built by Financial Market Specialists for Financial Markets

La Meer Inc., founded in 2010, is a Silicon Valley firm that offers the GRACE Suite of products which addresses a variety of aspects of risk management from operational risk, client management compliance management, Trade Monitoring, KYC, AML, operational due diligence and IT and vendor risk - that address world wide regulations.

The La Meer team comprises of people with deep subject matter knowledge and technology expertise from their extensive experience in building and implementing complex systems like the Bombay Stock Exchange on-line trading, credit data warehouse, derivatives technologies, integrated treasury, and corporate and private banking areas using their experiences in working for major corporations including Citibank, Silicon Valley Bank, and CMC Limited.

GRACE offers comprehensive functionality specifically built to address regulatory needs in the financial segments of banking, asset management, capital markets, and institutional investments.

Build on the market leading Oracle stack, requirements around availability, reliability, redundancy, resilience, data protection, and data privacy are all inherent in the platform. GRACE's modular architecture allows firms to have the benefits of a custom solution delivered through configuration of the modules needed to suit their own requirements.

For more information on the product features, please look at our website, or to arrange a demo, feel free to call or email one of our team.

La Meer Inc. A Risk and Compliance Solutions company for Financial Markets. www.lameerinc.com

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