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Complinova

presents

Complinova[®]

Compliance & Risk Management Platform

Comprehensive, Integrated, Enterprise-wide Workflow-based Solution



About Us



End-to-end solutions, start to ongoing stages, and scale-up



- **An independent Regulatory Compliance solutions platform** with a mission to make life easier for banks and their compliance officers.
- A Platform of **senior compliance professionals** combining several decades of experience/ expertise in financial service regulations and adherence.
- We provide a whole host of services ranging from sound and insightful **advice**, and cutting-edge **compliance tools** to **support services** that lend scale to in-house compliance in all areas of designing, assessing, reviewing, and managing governance and control frameworks



Complinova

- An extensive and easy-to-use SaaS-based cloud platform for Indian businesses:
 - **Layer 1 Solution:** Startups – for setting up business entities, Government registrations
 - **Layer 2 Solution:** Business Transactions Platform (ERP) – Accounting, Billing & GST Filing, Inventory, Payroll and HR Management
 - **Layer 3 Solution:** Growth phase compliance monitoring, internal controls, risk management, meetings, contracts, and compliance management
- Incorporated in Oct'20, headquartered in Hyderabad, India

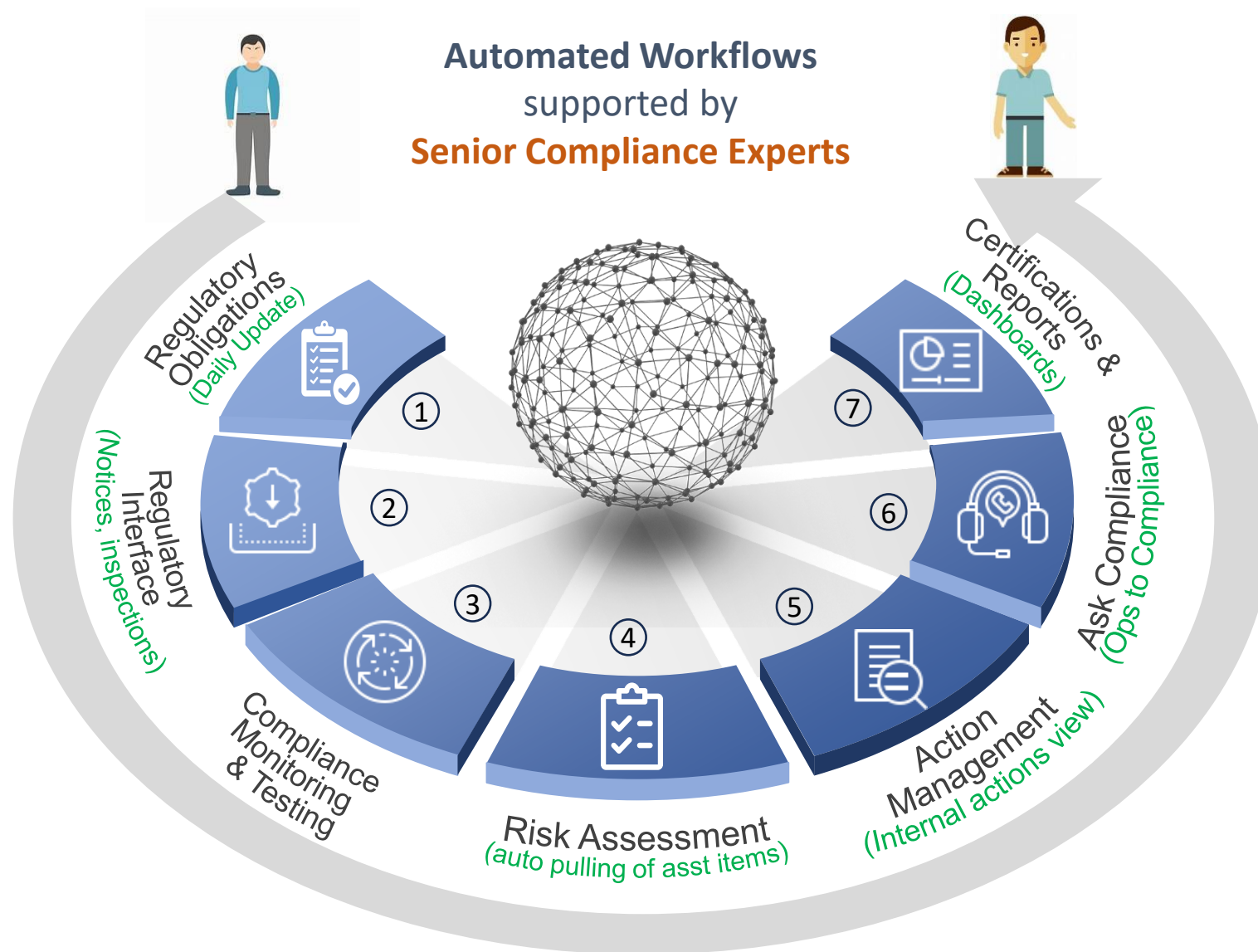


ISO/IEC
27001:2013
Certified
Complinova
Business Governance Solutions





Compliance Management Platform





Solution Differentiators



- ***Pre-loaded Regulatory Obligations Register*** (with Controls mapping)
- Ongoing Regulatory ***Change Management***
- Holistic view of ***Compliance Risks***
- ***Single Sign-on, Easy and scalable workflows*** – with roles and locations-based task assignments
- Solution available on/as (a) ***SaaS*** (b) ***Private Cloud*** and (c) ***On-Premise Installation***
- ***Value Added Features***

Under the ***supervision of Senior compliance professionals*** from the Industry



Value Added Features



Risk Register

(Enterprise Risk Management – ISO framework)

Special Module on Risk Items identification, Assets, Ratings, Control Mapping, Assessment and Mitigation Action Plans

Documents Management

BDocsLocker® - a document repository which facilitates creation, approval, reminders, and retrieval of documents

Statutory Compliances

Companies Act, FEMA, Taxation, Labour, and other laws

Meetings Management

BoardSuite® - for conducting and tracking Board, Committee, and other meetings, action items

Cap Table, KMP, Auditors movement

Shares, Options, and Debentures tracking Tracker for changes in Directors, KMPs and Auditors



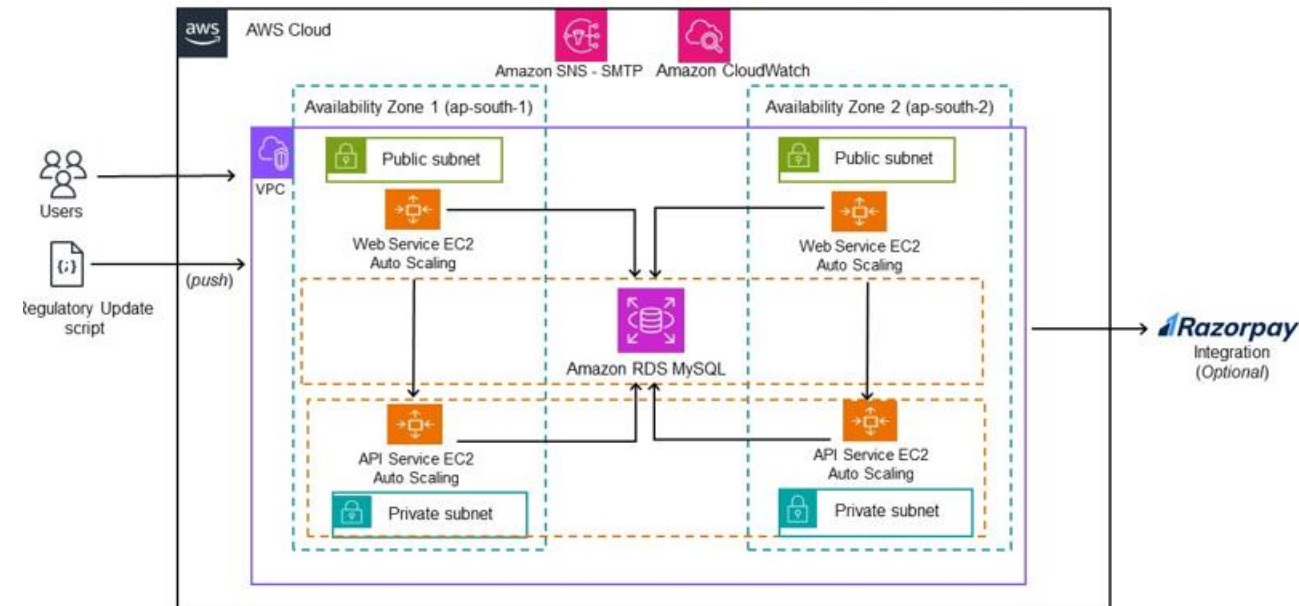


Technology Stack



- C#, ASP.net, JavaScript, jQuery, HTML, CSS
- MySQL - Release 8.x as available on Amazon RDS service
- Website: www.complinova.com is hosted on AWS public cloud. MySQL is hosted on AWS RDS service, offering a robust platform with automated backups.
- **Security Framework**
 - AES 256 Encryption is used for data at rest and in transit.
 - Complinova deploys enterprise-grade encryption for all sessions.
 - Complinova encrypted files protected through passwords.

High-level system architecture





Why ComplianceMatters & Complinova?



Integrity & Confidentiality

We respect commitment & confidentiality



Daily Updates

Scanning daily regulatory updates, available on email, web portal



Regulatory Consultation

Independent and Insightful Advice by Seasoned Professionals



Customized Solution

Tailoring Technology to meet your business needs



Cost Effective

World-class digital solutions at competitive prices



Timely Delivery

Predictable delivery timelines



Military Grade Security

Encrypted AES-256 algorithm of NIST approved by National Security Agency, USA



IT Support


Trained tech team provides 24/7 & 365 days support



Regulatory Change Management



- Automated mapping and list of all applicable compliance items (regulatory & statutory laws) with **daily updates** - Ability to create and modify the compliance items
- Routine and Risk Assessment (outcome) based tasks

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My DashboardMy Account

TaskMaster

Entity: Bank Demo1 LimitedDepartment: Business OperationSub-Department: Location/City: MumbaiBranch/Center: BKCTags: Development

DashBoard

Regulator-Wise

Law Category-Wise

Sub Industry-Wise

Showing 10 entries

#	Task Id	Task Name	Department	Due Date	Status	Ageing	Pending with	Impact
1	REG-0344	To adhere to conditions while ledning to Infrastructure Investment Trust (InvITs)	Business Operation	30-Apr-2023	Pending	0	BankDemo Owner	
2	REG-0345	Display of borrower information - Secured Assets possessed under the SARFAESI Act, 2002	Business Operation	30-Apr-2023	Pending	0	BankDemo Owner	

Showing 1 to 2 of 2 entries

Previous1Next

Updates:
Updates on 15th March 2024
Goods and Services Tax (GST):

- Central Board of Indirect Taxes & Customs (CBIC) amended earlier Notification to authorize Bihta, Bihar for import and export activities- Notification No. 21/2024-Customs (N.T.) dt 12/03/2024
 - CBIC has amended its previous Notification No. 12/97-Customs (N.T.) from April 02, 1997. This amendment introduced a new entry, serial number 2A, following serial number 2 in the Table of the principal notification. The new...



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Business Governance Solutions

Regulatory Interface Dashboard:

Entity : Archana Santhalia & Co

☒ Regulatory Interface - Regular
 ☐ Regulatory Interface - Data Requests

☒ As On: 4/12/2024 7:55:58 PM
 ☐ Select Period from dd-mm-yyyy to dd-mm-yyyy

User Role Reviewer Q

🕒 Pending Action 0

Regulatory Correspondence 0
Regulatory Inspection 0
Notices, Penalties 0

⌚ Work-in-Progress 0

Regulatory Correspondence 0
Regulatory Inspection 0
Notices, Penalties 0

✅ Completed 0

Regulatory Correspondence 0
Regulatory Inspection 0
Notices, Penalties 0

New Action/Communication

Show 10 entries
 Search:

#	Task Category	Task Sub Category	TaskID	TaskName	Department	Due Date	Status	Ageing	Pending With	Impact
No Records Available										

Showing 0 to 0 of 0 entries
Previous Next



Compliance Monitoring & Testing



- Internal Compliance Monitoring & Testing
- Proactive preparedness for RBS Tranche-III/IV
- Risk-based supervision, internal investigations based on actions against peer entities

Compliance Monitoring & Testing Dashboard

☐ As on date ☐ Select Period From: To:



#	Task Category	Task Subcategory	CMT Id	CMT Title	Department	Due Date	Status	Aging	Tester	Business User	Impact
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Compliance Monitoring & Testing

Create Test:

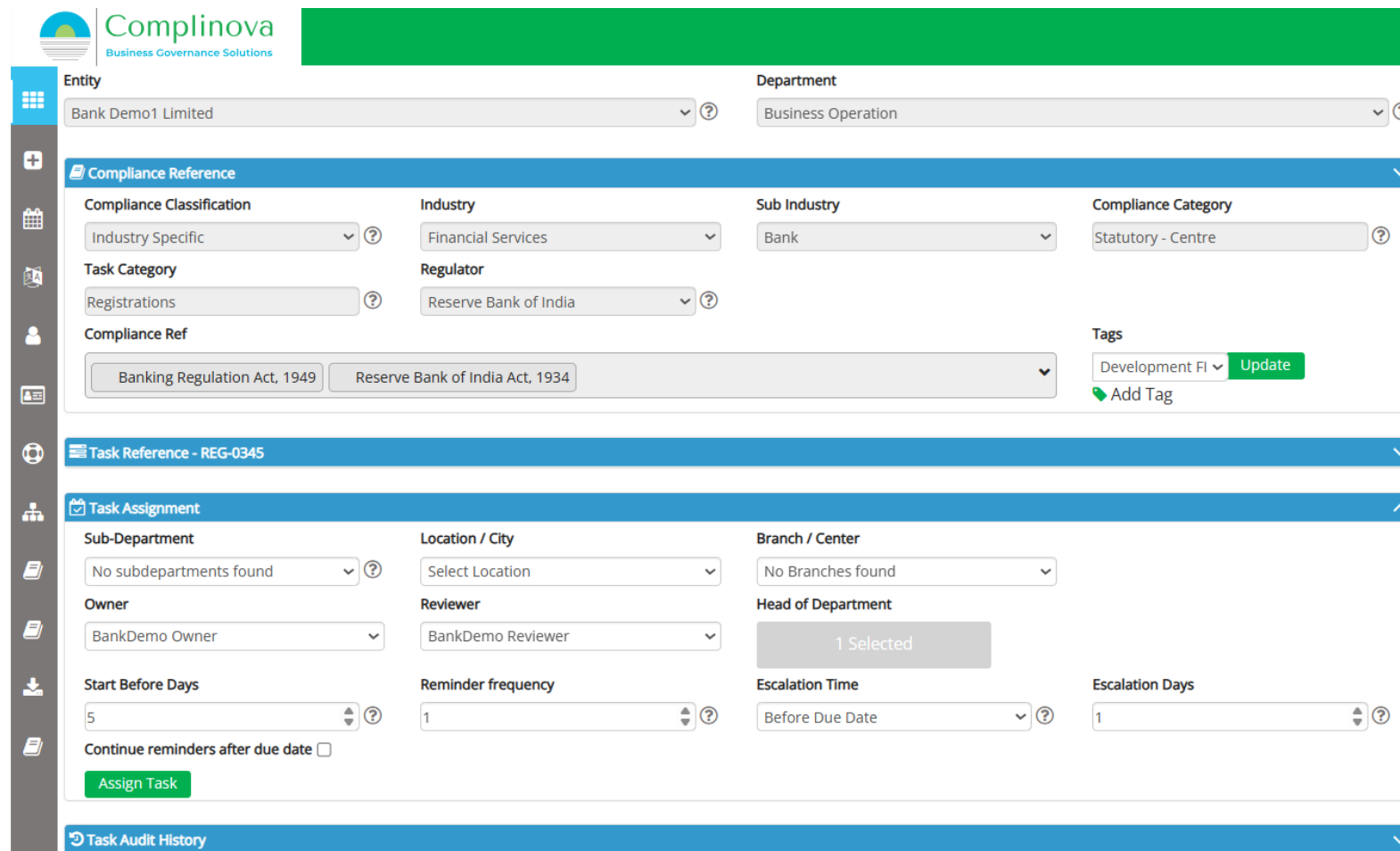
Entity <input type="text" value="Select Entity"/>	Department <input type="text" value="Select Department"/>	Test Category <input type="text"/>	Test Category <input type="text"/>
Regulator <input type="text" value="Select Regulator"/>	Compliance Ref <input type="text"/>	Frequency <input type="text" value="dd-mm-yyyy --:-- --"/>	Financial Year <input type="text" value="dd-mm-yyyy --:-- --"/>
Test Start Date <input type="text" value="dd-mm-yyyy --:-- --"/>	Completion Due Date <input type="text" value="dd-mm-yyyy --:-- --"/>	Risk Category <input type="text"/>	Financial Year <input type="text" value="dd-mm-yyyy --:-- --"/>
CMT Title <input type="text"/>			
Scope Docs <input type="button" value="Choose Files"/> No file chosen			



Task Assignment



- Two roles on the platform:
 - **Admin** – maintain the Compliance Library, Entity Master, Create Users and Assign Tasks to Users
 - **Users** – Task Owners (Maker), Reviewer (Checker) and HOD
- Admin to assign the Tasks to the concerned Users with reminders, escalation configuration



The screenshot displays the Complinova Business Governance Solutions interface for task assignment. The top navigation bar includes the Complinova logo and a green header. The main content area is divided into several sections:

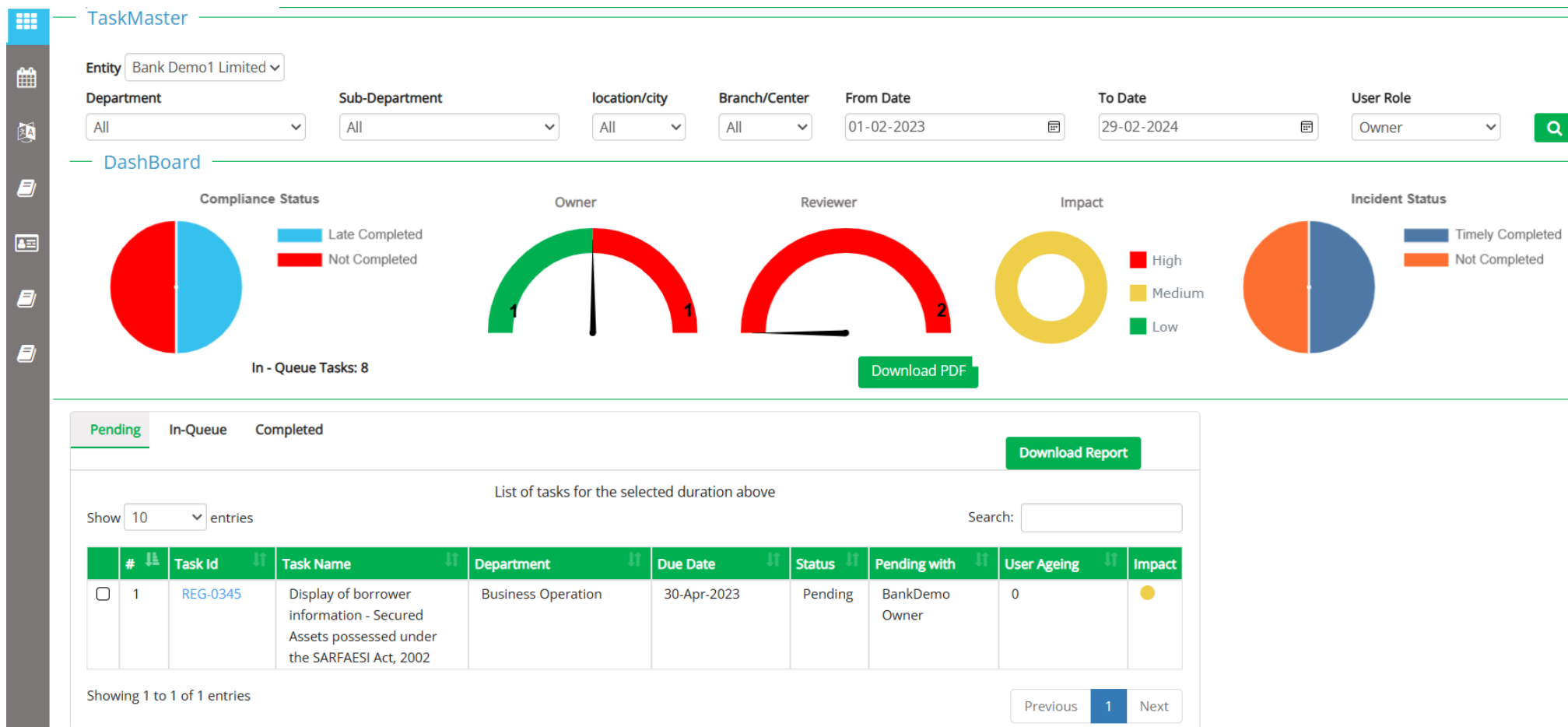
- Entity and Department:** Entity is set to "Bank Demo1 Limited" and Department is "Business Operation".
- Compliance Reference:** This section includes dropdowns for Compliance Classification (Industry Specific), Industry (Financial Services), Sub Industry (Bank), and Compliance Category (Statutory - Centre). It also has fields for Task Category (Registrations) and Regulator (Reserve Bank of India). A Compliance Ref section lists "Banking Regulation Act, 1949" and "Reserve Bank of India Act, 1934". A Tags section shows "Development FI" with an "Update" button and an "Add Tag" option.
- Task Reference - REG-0345:** A blue header bar for the specific task.
- Task Assignment:** This section contains various configuration fields:
 - Sub-Department: "No subdepartments found"
 - Location / City: "Select Location"
 - Branch / Center: "No Branches found"
 - Owner: "BankDemo Owner"
 - Reviewer: "BankDemo Reviewer"
 - Head of Department: "1 Selected"
 - Start Before Days: "5"
 - Reminder frequency: "1"
 - Escalation Time: "Before Due Date"
 - Escalation Days: "1"
 - Continue reminders after due date: ☐
- Assign Task:** A green button to execute the assignment.
- Task Audit History:** A blue header bar at the bottom.



Compliance Status Dashboard



- Task Status is tracked as:
 - Timely Completed** – Compliance items which are completed on time i.e. within Due Date
 - Late Completed** – Compliance items completed but after Due Date
 - Not Completed** – Compliance items pending for completion within Due Date






Risk Assessment



- Auto pulling of Risk Assessment items from the platform
 - Impacting Regulations (Open), Controls in place, Regulatory Actions (RI)
 - Outstanding Tasks from Compliance Monitoring & Testing, Internal Investigation & Regulatory action against peer entities
- Online review and approval process

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My Dashboard My Account

Risk Assessment

Entity

Archana Santhalia & Co

Reporting Year

Reporting Frequency

Risk Category

Q

Unassessed 0

High Risk 0

Medium Risk 0

Low Risk 0

New Risk Assessment

Dashboard

Show 10 entries

Search:

#	Reporting Year	Reporting Frequency	Risk Category	RA ID	Risk Assessment Title	RA Period	Due date	Status	Aging	Pending With
No Records Available										

Showing 0 to 0 of 0 entries


PreviousNext



BDocsLocker®



- Documents management, approval workflow, pre-populated Policies, Processes, and checklists
- Platform comes with pre-populated SOPs and Policy templates




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My DashboardMy Account

Entity


COMPLINOVA ASSOCIATES PRIVATE LIMITED

16


In Queue

6


License / Registration Documents

63


Policies

44


Processes

357


All Documents

230

Templates

2

Reports/ Presentations

12

Quotation / Contracts

Create/Modify User

Upload / Create Document

Reports

E-Sign & E-Stamp

Fetch Documents

Grid ViewFile View

Department

Select Department

Sub-Department

select

Location / City

select

Branch / Center

select

Document Type

Select

Tags








Select Tags

Show

10

entries

Search:

#	FormID	Department	Sub-Department	Category	Upload Date	Document Name	File Type
1	211620240131123100	Corporate	-	Template / Form	31-01-2024	test e sign approval	
2	211620240122120505	Corporate	-	Reports / Presentation	22-01-2024	Testing Image file	
3	210120240119154019	Corporate Compliance	-	Reports / Presentation	19-01-2024	Test e sign	
4	210720240110115226	Administration	-	License / Registrations	10-01-2024	Testing	
5	210120240108121706	Corporate Compliance	-	Processes	08-01-2024	Data check	
6	210320231213185203	Finance & Accounts	-	Quotation / Contracts	13-12-2023	MSA with ABC LIMITED	
7	211620231212135543	Corporate	-	License / Registrations	12-12-2023	Test 09-12-2023	



- Streamline Board/Committee/Business meetings with features like online agenda, notes, presentation papers, online minute preparation, and meetings tracker.
- Smart Dashboard ensures efficient tracking and closure of action items, making governance a strategic driver for your business's success

Entity

COMPLINOVA ASSOCIATES PRIVATE LIMITED

+CREATE NEW MEETING

Upcoming Meeting

Past Meeting

Show 10 entries

Grid view

Calendar view

Search:

#	Meeting ID	Date and Time	Meeting Title	Attendees	Type
1	Inter-0015	Mon,25 Apr 2022 12:00 PM	Business Review Meeting	AI	internal
2	Inter-0016	Mon,25 Apr 2022 9:00 AM	asas	RS BN	internal
3	Inter-0017	Mon,25 Apr 2022 12:00 AM	Details	RS	internal
4	Inter-0018	Mon,25 Apr 2022 9:00 AM	create meeting for testing	CT	internal
5	Exter-0011	Wed,11 May 2022 5:30 PM	test	CT	external
6	Inter-0023	Wed,22 Jun 2022 4:30 PM	new	CT	internal
7	Inter-0025	Thu,11 Aug 2022 2:00 PM	Internal meeting 1 created by murali for testing	RS	internal
8	Inter-0032	Thu,10 Nov 2022 10:00 AM	Test 11	SS A	internal
9	Board-0010	Thu,10 Nov 2022 4:30 PM	Board 3	A	committee
10	Inter-0035	Fri,18 Nov 2022 2:00 PM	COPS ERP Review	SS RY	internal

Showing 1 to 10 of 97 entries

Previous

1

2

3

4

5

...

10

Next

Action items pending by me

Show 5

Search:

entries

Action Item	Due by	Due to	% Completion	Status
No data available in table				

Showing 0 to 0 of 0 entries

Previous

Next

Action items pending by others for me

Show 5

Search:

entries

Action Item	Due by	Due from	% Completion	Status
Arrange Professional Indemnity Insurance Policy for US\$ 1mn	31-Dec-2023 15-Jan-2024	Haneef Mohammad	40	progress
Arrange Professional Indemnity Insurance Policy for US\$ 5 mn	31-Jan-2024 31-Jan-2024	null	20	progress
ATR 1	13-Dec-2022 20-Dec-2023	Ravi Kiran Yalla	2	progress

Thank You !

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Telangana, India



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