



VIGIL

Get controls and business together



ARCAD

audit. risk. control. advisory.

What is VIGIL ?

VIGIL is an integrated GRC platform for high performers

All-in one solution unique on the market

- ✓ 100% web application
- ✓ RegTech Solution
- ✓ DMS in Luxembourg
- ✓ Knowledge repository

Efficacy & efficiency

- ✓ Quick and easy to handle
- ✓ Audit trail of tasks & controls
- ✓ Preset Templates
- ✓ One Click Reporting



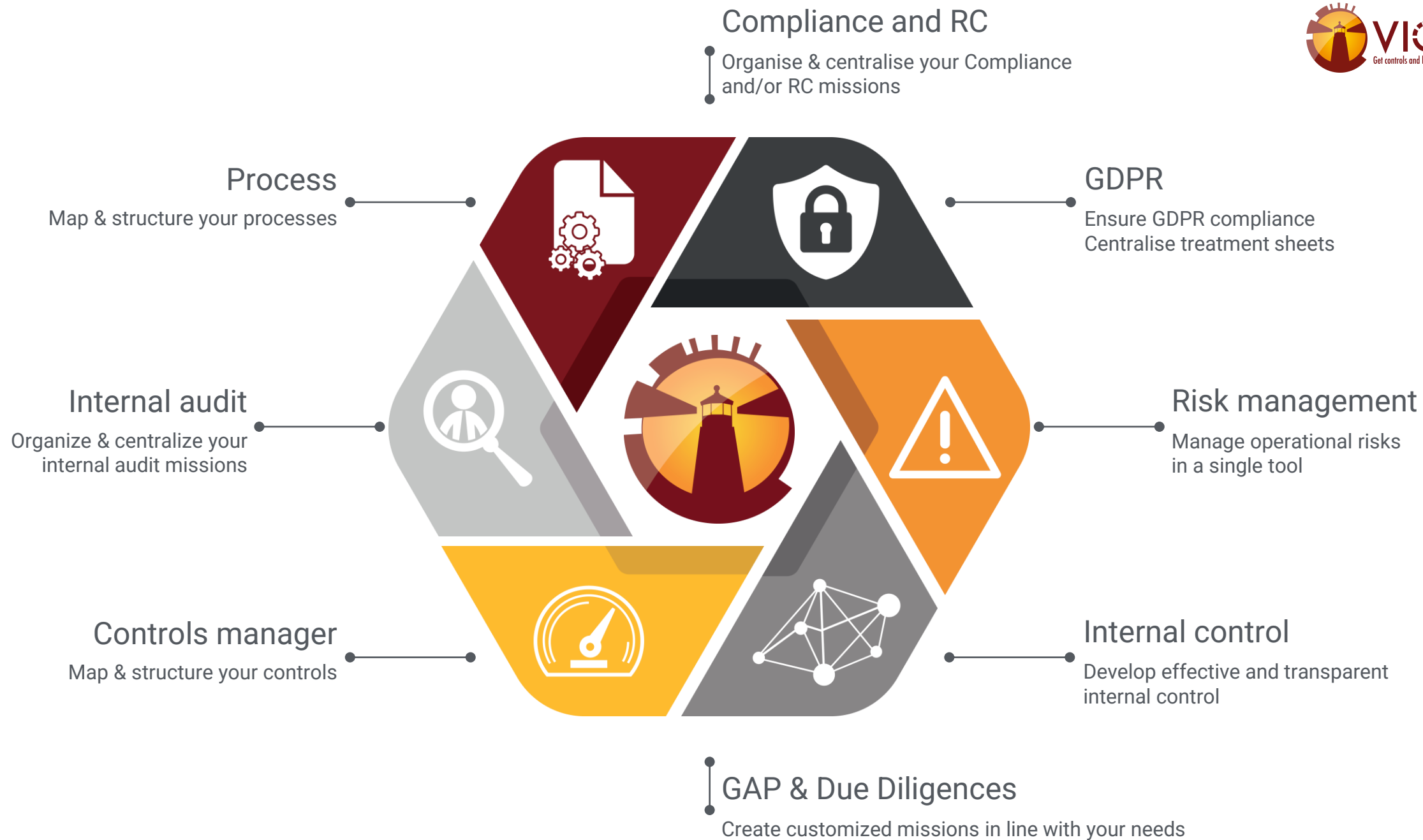
9 modules to suit your needs :

- ✓ Process
- ✓ Controls Manager
- ✓ Internal Control
- ✓ Internal Audit
- ✓ Compliance
- ✓ Risk Management
- ✓ GDPR
- ✓ Governance
- ✓ GAP/Due Diligences

What does VIGIL do ?

<ul style="list-style-type: none"> ✓ Map your company's knowledge into the process module, ensure ownership and processes maturity ✓ Link controls & risks to relevant processes, ensure ownership of controls ✓ Define mitigation measures in order to address identified risks 	1 st Line of Defence	Reporting
<ul style="list-style-type: none"> ✓ Define and document compliance missions ✓ Review controls and mitigation measures identified by the 1st line of defence ✓ Follow-up compliance recommendations in real time 	2 nd Line of Defence	<ul style="list-style-type: none"> ✓ CSSF Reporting ✓ ISAE 3402, ISA 300 and ISO Reports ✓ Audit trails ✓ Management Reporting ✓ Dashboards ✓ Customized reports
<ul style="list-style-type: none"> ✓ Define and document internal audit missions ✓ Review controls performed by the 1st and 2nd lines of defence ✓ Follow-up internal audit recommendations in real time 	3 rd Line of Defence	





Module Process

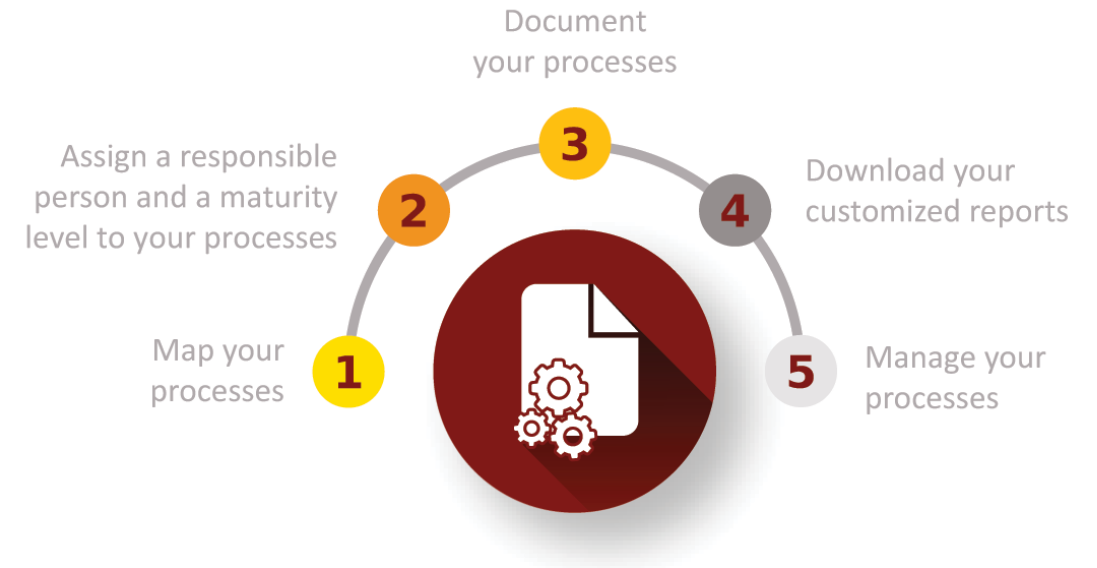
.01



Structure your activities by detailing all your organization's processes in a unique tool

Process Module

- ✓ Structure your activities by detailing all your organization's processes in a unique tool.
- ✓ Formalise your processes through tailored cartography.
- ✓ Define responsibilities within your organisation.
- ✓ Determine the areas for improvement by assigning a maturity level to each process.
- ✓ Attach documentation to your processes in order to prevent any loss of knowledge within your organisation.
- ✓ Get an accurate and detailed view of your organisation at all times.
- ✓ Download all your data in a single report.



Boost your performance!



Map your processes in a unique tool



Define the maturity of each process



Centralize the documentation of all processes



Obtain an accurate and detailed view of your organization at every moment



Module Controls Manager

.02

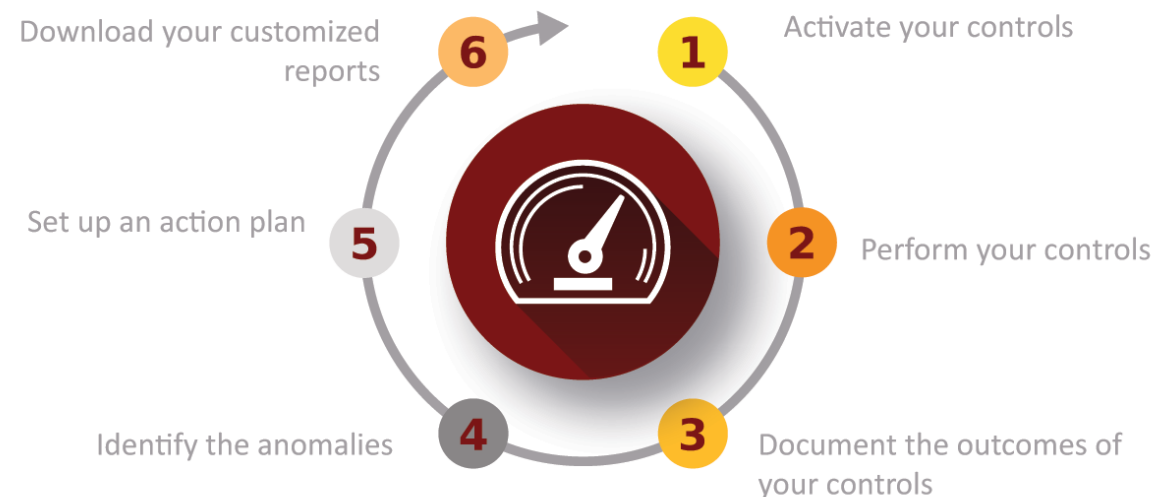


Link controls & tasks to every process in your organization



Controls Manager Module

- ✓ Link controls & tasks to every process in your organization.
- ✓ Assign a responsible person to each task in order to avoid duplication of functions.
- ✓ Ensure efficient and effective task management.
- ✓ Define automatic reminders.
- ✓ Centralise the documentation of the results of your inspections in a single tool.
- ✓ Quickly identify anomalies and set up an action plan.
- ✓ Download all your information in a single report.
- ✓ Get a traceability of the tasks carried out.



Boost your performance!



Organize and centralize your controls



Formalize the validation of controls



Quickly set up an action plan for each identified anomaly



Easily create your reports and have a traceability of the controls carried out



Module Internal Control

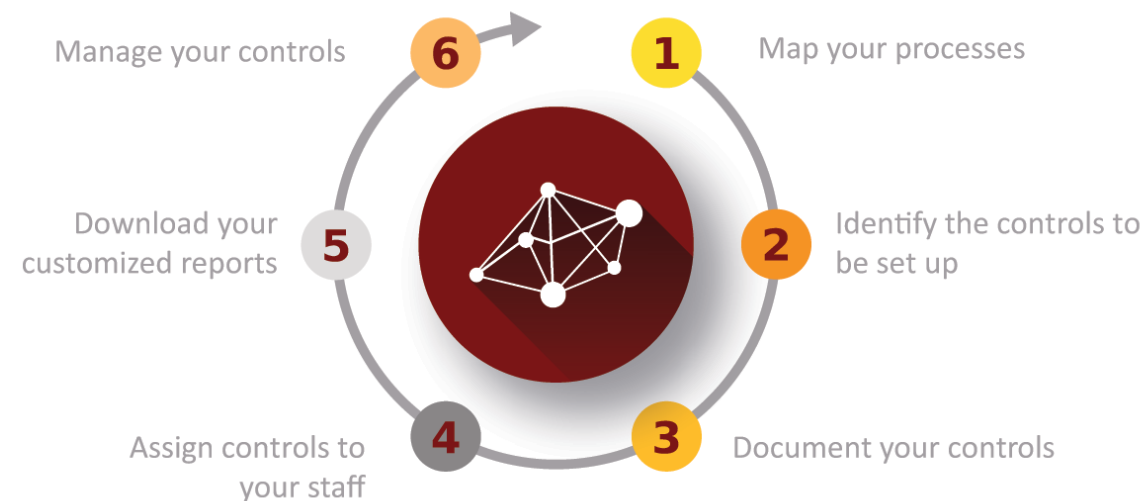
.03



Identify & define the controls to be implemented within your organization

Internal Control Module

- ✓ Identify & define the controls to be implemented within your organization.
- ✓ Take advantage of a pre-configured knowledge database.
- ✓ Attach supporting documents to each control in order to avoid any loss of knowledge within your organisation.
- ✓ Assign tasks & responsibilities to different staff.
- ✓ Define the frequency of each control and schedule automatic reminders.
- ✓ Get an accurate and detailed view of your organisation at all times.
- ✓ Ensure the continuity of the Internal Control function.
- ✓ Use pre-configured reports for easy communication & reporting.



Boost your performance !



Map your controls in a unique tool



Define the duties and responsibilities of each person,



Centralize the documentation of all controls



Obtain an accurate and detailed view of your controls at any moment



Module Internal Audit

.04



Manage your internal audit missions in a more efficient and transparent way



Internal Audit Module

- ✓ Manage your internal audit missions in a more efficient and transparent way.
- ✓ Formalise your audit plans.
- ✓ Define your missions thanks to a parameterised and customisable knowledge database.
- ✓ Organize and centralize the missions of the internal auditor.
- ✓ Implement and manage permanent audit within your organisation.
- ✓ Send questionnaires & document requests to various stakeholders via VIGIL.
- ✓ Keep an audit trail
- ✓ Formalize the validation of the recommendations by the audit supervisor as well as the approval of the audit reports by the authorized management.
- ✓ Have real-time tracking of audit recommendations.
- ✓ Download your reports in one click.



Boost your performance!



Organize and centralize the missions of the internal auditor



Formalise the validation of recommendations



Send questionnaires & document requests to various stakeholders via VIGIL



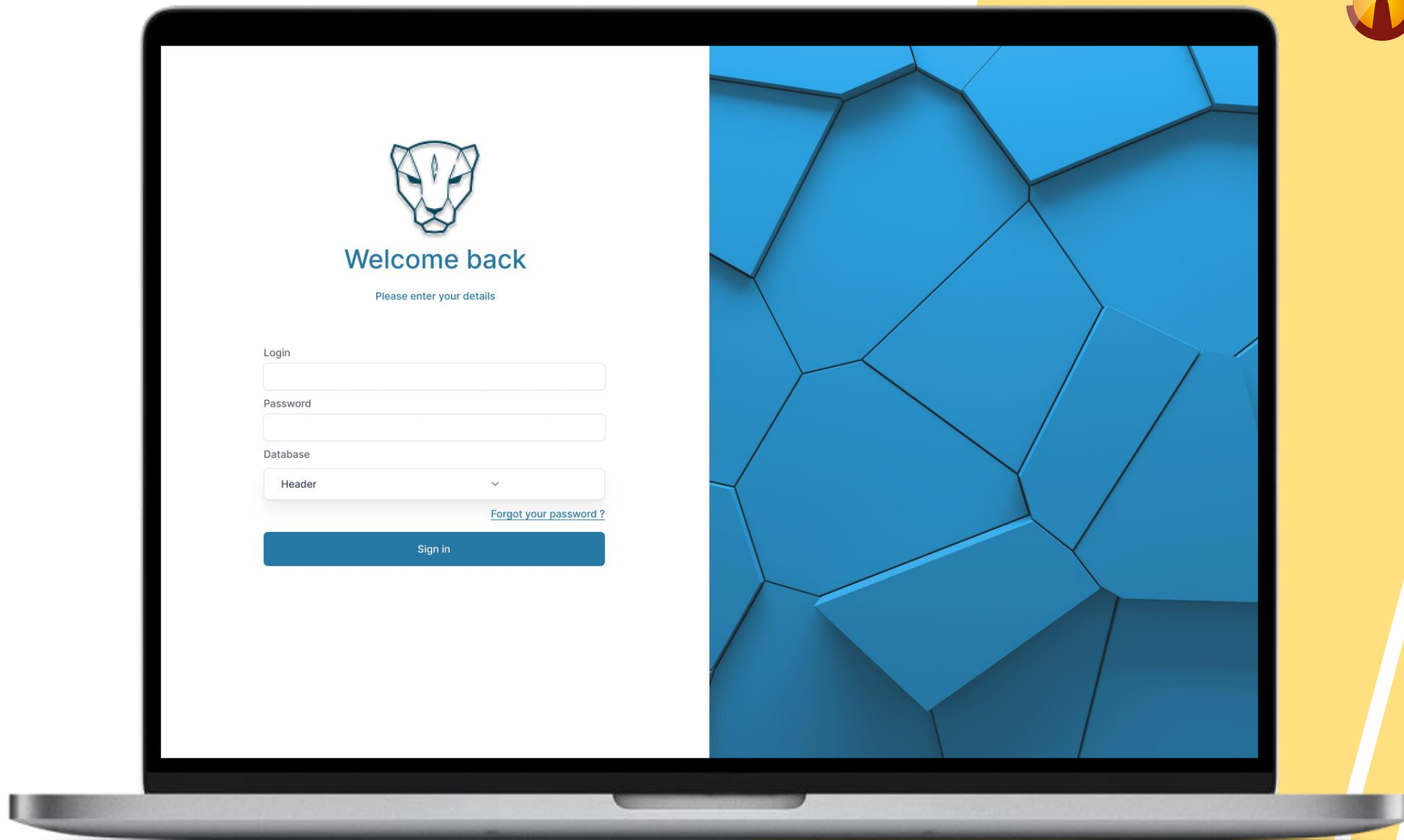
Generate your reports and follow your recommendations

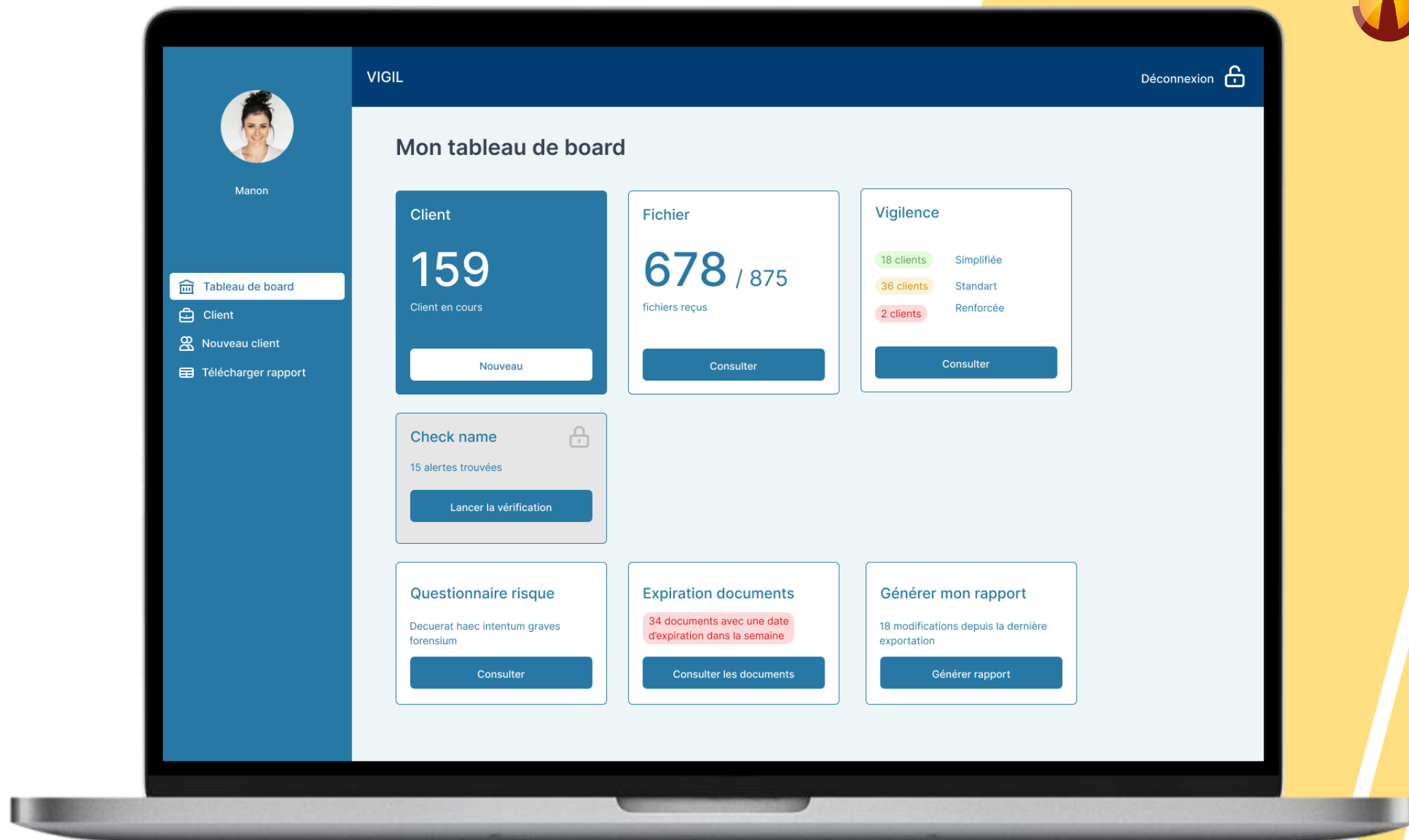
Module
Know Your Customer

.05

Manage your KYC with VIGIL







Module
Compliance and RC

.06

Manage your RC and/or compliance missions in a more efficient
and transparent way



Compliance/RC Module

Methodology

- ✓ **Set up Compliance and/or RC Plan**
By selecting relevant topics from the customisable knowledge database
- ✓ **Define Compliance and/or RC Missions**
Thanks to a customizable knowledge database composed of relevant controls per topics
- ✓ **Manage Controls**
 - ✓ Draft your observations
 - ✓ Document the evidence of controls
 - ✓ Link the controls to the risks identified
 - ✓ Rank your recommendations
 - ✓ Escalate your recommendations to relevant stakeholders
- ✓ **Formalize the validation**
Of recommendations by the RR or the Compliance Manager
- ✓ **Monitor recommendations**
Receive alerts when recommendation is made and get reminders before expiration of the implementation date
- ✓ **Download Compliance and/or RC plan and reports**
Thanks to customizable templates



Boost your performance!



Organize & centralize the tasks of the RC and/or Compliance Officer



Formalise the 4-eyes controls and save an audit trail



Take advantage of pre-configured & customisable database



Generate your reports and follow your recommendations





RC Mission/Compliance mission



What are the benefits of VIGIL ?

✓ **Centralize missions**

Organize the missions of the Compliance Officer and the missions of the RC in a single tool

✓ **Formalize controls**

Formalize the 4-eyes controls and save an audit trail

✓ **Set automatic reminders/alerts**

Receive automatic reminders by email

Receive alerts when issues have been identified

✓ **Safeguard evidences**

Upload evidences of controls and easily manage files

✓ **Liaise risks with mitigation measures**

✓ **Download your personalized reports in one click**

Easily formalize plan and reports thank to customizable templates



RC/Compliance Mission

Managing your RC/Compliance mission with VIGIL

The RC/Compliance Officer can organize all his tasks via the VIGIL application.

The screenshots presented in the following slides are overviews of the VIGIL application and show :

- ✓ **How controls are reminded to the RC** according to the plan defined previously
- ✓ An **example of an observation** made by the RC
- ✓ An **email sent automatically** to the manager **when a recommendation has been issued**
- ✓ The page that allows for effective and efficient **follow-up of recommendations**
- ✓ The page that allows you **to customise and configure the reporting**



Module Risk Management

.07



Manage operational risks in a single tool



Risk Management Module

Methodology

- ✓ Define risk appetite
- ✓ Quickly identify your organisation's inherent risks thanks to a pre-configured database
- ✓ Assess inherent risks and net risks on the basis of a probability - impact scale
- ✓ Define the treatment of the risks and mitigation measures
- ✓ Identify action plans to further mitigate the net risks (expected risk)
- ✓ Update your risk analysis and generate reporting

Why VIGIL ?

- ✓ Manage an unlimited number of risks and mitigation measures
- ✓ Minimum gain of 15 FTE days per year
- ✓ Anticipate & optimise risk management
- ✓ Implement permanent control



Boost your performance!



Document your action plans



Take your risk analyses to the next level



Take advantage of the guidance provided by experts



Get customised reports



Manage operational risks in a single tool

Ready-to-use preset templates

- ✓ **AML risk analysis**

In compliance with Article 2-2 of the Law of 12 November 2004 as amended

- ✓ **Management of information and communication technology (ICT) risks**

In compliance with CSSF Circular 20/750

- ✓ **Risk analysis related to the implementation of teleworking**

In compliance with CSSF Circular 21/769 as amended

- ✓ **Compliance analysis and risk management of subcontracting agreements**

In compliance with CSSF Circular 22/806

- ✓ **Risk Analysis Report (RAR) (applicable to support PSF)**

In compliance with CSSF Circulars 12/544 & 19/727

- ✓ **Operational Risk Analysis and much more ...**



Module GDPR

.08



Centralise your registers in a single tool

GDPR Module

- ✓ Fulfil all your personal data management obligations.
- ✓ Easily manage your processing register thanks to customisable data processing sheets.
- ✓ Centralise your treatment sheets relating to subcontractors, data leaks and requests for information from the persons concerned.
- ✓ Minimise the risks related to the processing of personal data.
- ✓ Obtain an accurate and detailed view of your data management at any time.
- ✓ Download your reports in one click.



Boost your performance!



Organize personal data management



Centralise your treatment sheets



Reduce the risks linked to personal data



Obtain an accurate and detailed view of your data management at any time





VIGIL Extract - GDPR

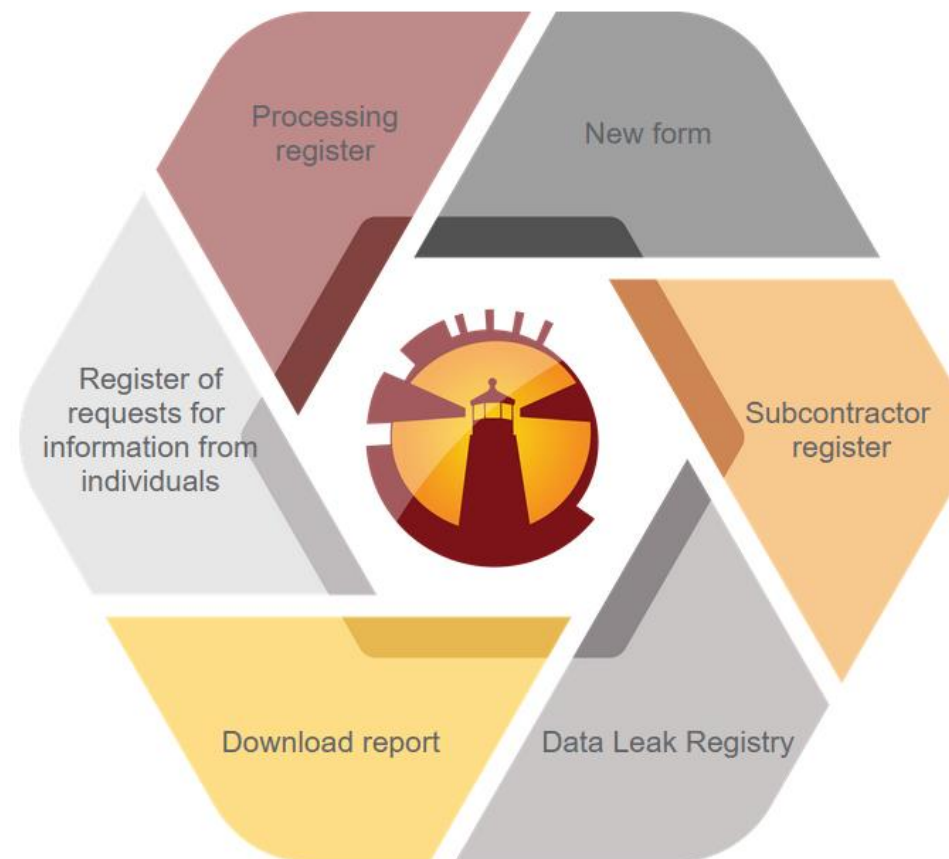


GDPR compliance

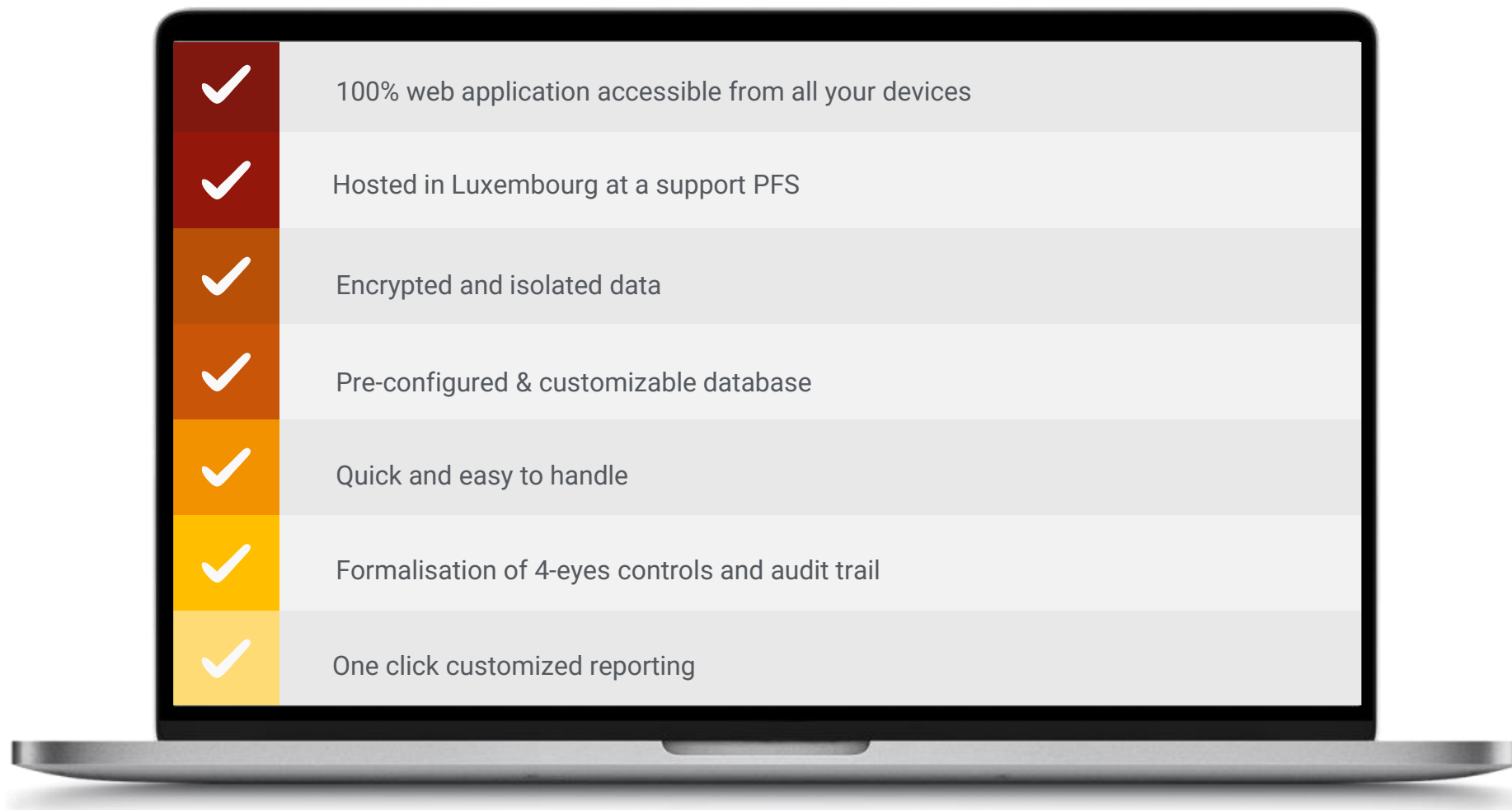
Project manager

Download report

Close project



Key features



ALL-IN-ONE SOLUTION UNIQUE ON THE MARKET



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