

# GLOBAL COMPLIANCE MANAGEMENT SOLUTION

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*GLOBALISED NEEDS · LOCALISED SOLUTION*

# THE PROBLEM STATEMENT

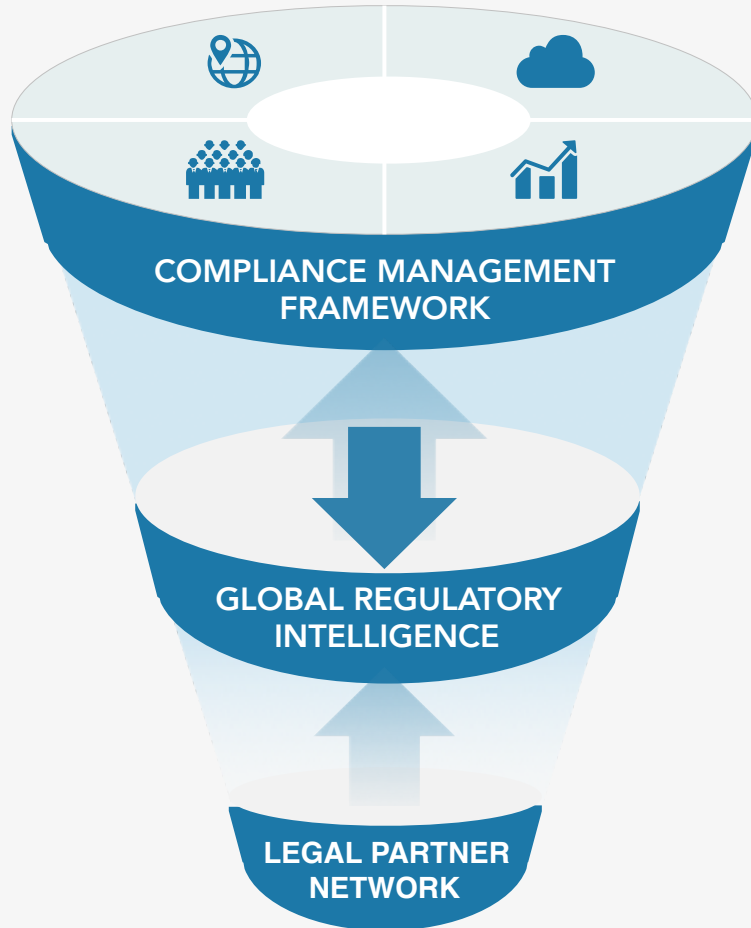
With growing uncertainty in global business environment and rapidly increasing scrutiny around compliance, businesses today are struggling to get their acts right on regulatory obligations. Risk Managers are putting 1000's of man-hours to collate and track global regulatory know how & changes without an experienced global team; hence increasing the costs and risks of non compliance.

**Usually organisations are plagued with one or many of the following compliance challenges:**

 Legal Know how	<ul style="list-style-type: none"><li>• Converting laws to compliance actionable</li><li>• Comprehensiveness of coverage, language constraints, interpretation</li><li>• Availability of expert legal advisor with localised know how..</li></ul>
 Multiplicity of laws	Basis geographies, jurisdictions, regulators, locations, industry, nature of business, etc
 Increasing Legal Complexities	<ul style="list-style-type: none"><li>• Frequent changes in laws</li><li>• Introduction of new regulations</li><li>• Availability of information</li></ul>
 Data Consolidation & Management	<ul style="list-style-type: none"><li>• Tracking applicability and reporting of compliance entity, business, location, department wise</li><li>• Ensuring data is secured &amp; audit-able</li></ul>
 Co-ordination for compliance	<ul style="list-style-type: none"><li>• Internal - Within teams, departments, geographies, group companies,</li><li>• External - Clients, vendors, service providers, auditors, etc</li></ul>
 Reporting Requirements	<ul style="list-style-type: none"><li>• On average, business needs upto 40 compliance reports annually</li><li>• AGM, Board Meetings, Audits, M&amp;A, Loans, Due diligence, etc</li></ul>
 Business impacts of Non Compliance	 License Revocation  Heavy Penalties  Imprisonment of KMP  Reputation Losses  Employee Attrition

# LAWRBIT VALUE PROPOSITION

Integrating technology & Regulatory Intelligence, we have enabled clients to reap maximum benefits by adopting best practices, reduces errors, costs, improves efficiencies and ROI; clients can manage obligations across wide range of regulations through a comprehensive framework



- Separate applications for Legal experts to create, approve and update Regulatory Intelligence
- Research app integrates with GCMS through APIs, enables common version of Regulatory intelligence across clients globally
- Hosted on AWS; can be hosted on any of AWS' 60+ Regions globally in compliance with Data Localisation requirements

- Regulatory Intelligence is curated, created and updated periodically / real time through collaborative input of 1000s of legal experts available through our legal partners
- Centralised repository of compliance obligations, key terminologies, legal documents, updates can be commonly accessed by process owners, CXOs, auditors, etc

Our partnership with 100+ Tier 1 & Tier 2 legal and CPA firms across 70+ countries helps us:

- Regulatory Intelligence creation, translation & updation
- Understand client's business operations, identify applicable laws, compliance & address legal queries during implementation
- On-Call support for legal queries post Go-Live

# GLOBAL COMPLIANCE NETWORK

*Globalised Needs | Localised Solutions*

## NORTH AMERICA

- COSTA RICA
- GUATEMALA
- MEXICO
- U.S.A

## SOUTH AMERICA

- ARGENTINA
- BRAZIL
- PERU

## EUROPE

- AUSTRIA
- BELGIUM
- CYPRUS
- DENMARK
- FINLAND
- FRANCE
- GERMANY
- HUNGARY
- ICELAND
- IRELAND
- ITALY
- LUXEMBOURG
- MALTA
- NETHERLANDS
- NORWAY
- POLAND
- PORTUGAL
- ROMANIA
- SLOVAKIA
- SPAIN
- SWITZERLAND
- UNITED KINGDOM

## AFRICA

- ALGERIA
- BOTSWANA
- GHANA
- IVORY COAST
- KENYA
- LIBERIA
- MALAWI
- MOROCCO
- MOZAMBIQUE
- NAMIBIA
- NIGERIA
- SENEGAL
- SOUTH AFRICA
- SUDAN
- TANZANIA
- TUNISIA
- UGANDA
- ZAMBIA
- ZIMBABWE

## ASIA PACIFIC

- INDIA
- BRUNEI
- BANGLADESH
- CHINA
- CAMBODIA
- HONG KONG
- INDONESIA
- JAPAN
- MACAU
- MALAYSIA
- MYANMAR
- PHILIPPINES
- SOUTH KOREA
- SINGAPORE
- SRI LANKA
- TAIWAN
- THAILAND
- VIETNAM

## MIDDLE EAST

- SAUDI ARABIA
- TURKEY
- UAE
- SAUDI ARABIA
- KUWAIT
- OMAN
- QATAR
- ISRAEL
- EGYPT
- BAHRAIN

## OCEANIA

- AUSTRALIA
- NEW ZEALAND



70+ COUNTRIES COVERED



100+ LEGAL PARTNERS



3,500+ LAWS MAPPED



500+ LEGAL PROFESSIONALS



# REGULATORY INTELLIGENCE

*Across all category & type of laws applicable on business*

## SALIENT FEATURES

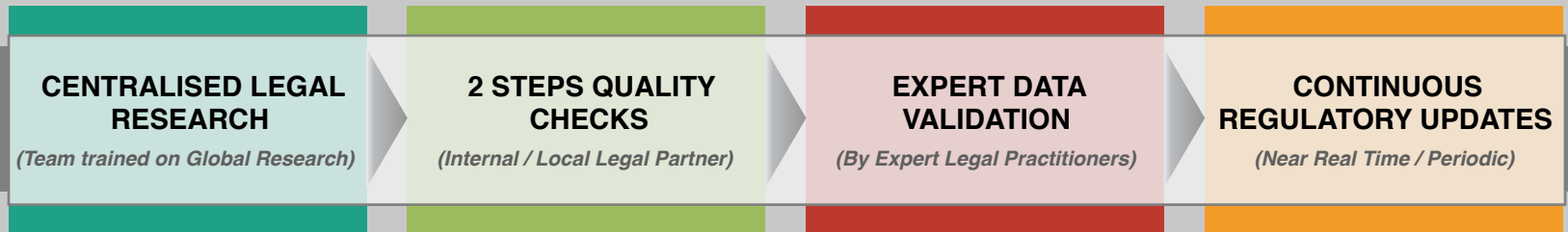
- Comprehensive coverage across federal, state, local & industry specific laws
- Simplified legal language for easy understanding
- Categorisation of compliance basis its nature and actions required
- Event Based advisory helps identify compliance requirements across laws
- Risk categorisation of compliance basis penal provisions defined in laws
- Continuous legal research and auto updation of compliance obligations with impact assessment



# REGULATORY INTELLIGENCE

*Across all category & type of laws applicable on business*

## INTELLIGENCE CREATION



## COMPLIANCE MODULES

ONE TIME	RECURRING	ON-GOING	EVENT BASED
<i>Licenses, Approvals, Registrations, etc</i>	<i>Monthly, Quarterly, Bi-Annual, Annual Filings</i>	<i>Registers, Procedures, Displays, Provisions, etc</i>	<i>Launches, Intimations, Modifications, etc</i>

## INBUILT / CUSTOM RISK MATRIX

EXTREME	HIGH	MEDIUM	LOW
<i>Imprisonment / Operational Impacts</i>	MONETARY PENALTY		

Create custom 10x10 RISK MATRIX; plot entity wise IMPACT & LIKELIHOOD for each compliance obligation

# APPLICATION FLOW

*Manage End to End Compliance Lifecycle*



## Create awareness of regulatory obligations

- Comprehensive coverage of all applicable laws
- Simplified language for easy understanding of compliance obligations
- Common checklists for consistent approach



## Establish authority & responsibility matrix

- Enable accountability, checks and controls
- Bring all internal and external stakeholders on common platform
- Configurable forms, fields, and workflows



## Single platform for compliance controls

- Report adherence with compliance
- Manage document with role based rights to upload & download
- Mails for event base alerts, notifications & escalations



## Reduce Risks with proactive monitoring

- Real time configurable reports and dashboards
- Centralised visibility into non compliance, issues and inefficiencies
- Enables proactive control & better decision making



## Inbuilt Legal Libraries

- Compliance checklists
- Legal updates
- Corporate Events



## Access Controls

- Compliance organogram
- Role based access
- Reallocate tasks



## 3rd Party Compliance

- Access rights
- Collaborate & share data
- Reduces audit costs



## Management Dashboard

- Heat Maps / Comparisons
- Analytical dashboards
- Report Customisation



## Document Management

- Retain & archive
- Advance search
- Confidentiality tag



## Automation & Configuration

- Alerts & notifications
- Reminders & escalations
- Reports & status updates



## Ease of Use

- Auto populated calendars
- Simple user interface
- Training videos & manuals



## Scalable & Secure

- Single global application
- Multiple entities & locations
- Hosted on AWS cloud



# IMPLEMENTATION PROCESS

## Business Discovery & Law Compilation

Identify project team  
Business discovery using questionnaire  
Publish list of applicable laws on business  
Workshop with functional users to understand:

- Business operations
- Product / Services
- 3rd party contracts
- Other aspects defining compliance applicability

## Compliance Checklist Finalisation

Prepare client specific acts/rules, compliance checklists  
Identification of users:

- Performer / Approver / Group Owner
- CXO Users

Map compliance to

- Functions
- Locations
- Internal & External Users

## Application Configuration

Instance Setup on AWS  
Configure Application:

- User Level Controls
- Responsibility & Authority Matrix
- Auto reports
- Reminders
- Escalations
- Notifications
- Management User
- Compliance Auditor

Activate End Users

## User Trainings & Application Go-Live

- Classroom pilot & configuration testing
- Training of admin & Users (Onsite/Remote)
- Application Go-Live
- Post Go-Live Support
- Handing over admin control to client
- Handing over to On-going support team

## LIFELONG SUSTENANCE SUPPORT



Application Updates & Upgrades



Legal Updates & Consulting



Compliance Audits & Reviews



Legal cum Technical R&D



Trainings & Hand Holdings



Technical & Legal Support



## KEY DIFFERENTIATORS

What makes **Lawrbit** stand out against other alternate options available in market

### GLOBAL COVERAGE

- Supports 80+ Countries
- No Regulatory Intelligence provider offers such extensive coverage

### SCALABLE SOLUTION

- Manage multiple geographies, entities, from single dashboard.
- Add geos, entities as needed

### COMPLIANCE ECOSYSTEM

- Vendors - 3rd party compliance
- Compliance Service Providers
- Auditors - Internal / External

### OTHER DIFFERENTIATORS

- Analyse Impact on Directors
- Work simultaneously on multiple entities & geographies

1

2

3

4

5

6

7

8

### LOCALLY VETTED CHECKLISTS

- Tie ups with 100+ law firm partners for validation & updation of regulatory intelligence data
- Cover all areas of laws - Central / Federal & State

### 4 COMPLIANCE MODULES FOR COMPREHENSIVE COVERAGE

- One Time & Recurring
- Ongoing Compliance Surveys
- Event Based Compliance Advisory

### LEGAL UPDATES

- Auto updates in the system
- Pre Committed SLAs
- Users get E-mail intimation & copy of notifications on updates

### GROUND SUPPORT

- Law firm partner services can be availed anytime
- Cost Effective Rates, global coverage through single contract

# PRODUCT SCREENSHOTS



# CXO'S DASHBOARD

CXO
Big Value India Pvt.
Go

**4**  
Countries

**4**  
Entities

**9**  
Locations

**27**  
Departments

**Fiscal Status**

1.28%

Previous	% Change	Trend
11.88 %	-10.6	<span style="color: red;">↘</span>

**Fiscal Stats**

- ✔ Compliant 1
- ! Delayed Filing 0
- ! Denied 2
- ! Pending 231

**Director's Impact Dashboard**

John Doe 112 %

**Impacting Board**

- ✔ Compliant 1
- ! Delayed Filing 0
- ! Denied 0
- ! Pending 170

**Pending For Fiscal**

98.72%

Previous	% Change	Trend
88.13 %	10.59	<span style="color: red;">↘</span>

**Pending Stats**

- ! Extreme 44
- ! High 48
- ! Medium 92
- ! Low 47

**Ageing Analysis**

Upto 30 Days	21
31-90 Days	39
91-180 Days	64
181+ Days	176

**Corporate Events**

- Assigned Events 5
- Triggered Events 5
- Compliance Assigned 20
- Denied By Team 2

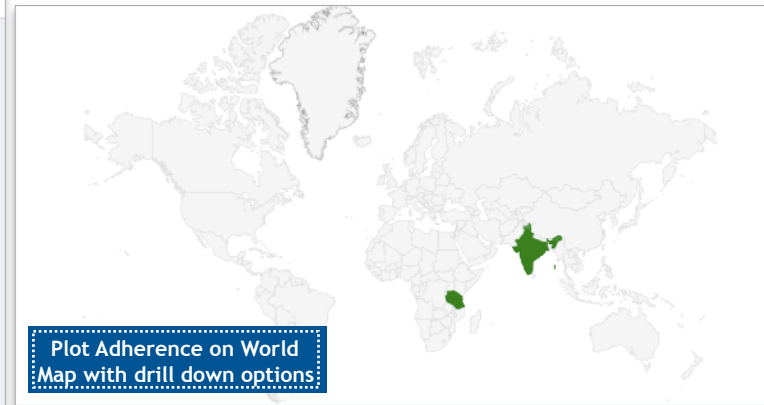
**Compliance Heat Map**

Location Wise | 2019

LEGAL ENTITIES	LOCATION	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
Big Value India Pvt Ltd	India-HQ												
Big Value India Pvt Ltd	BURUBURAM												
Big Value India Pvt Ltd	Haryana												
Big Value India Pvt Ltd	Mumbai												
Big Value Mexico	Mexico-HQ												
Big Value Tanzania Limited	TND-HQ												
Big Value Tanzania Limited	Dar es Salaam												
Big Value Tanzania Limited	Tanzania												
Big Value UAE	UAE-HQ												

Showing 1 to 9 of 9 entries

## COMPLIANCE MAP



## PIVOTS / GRAPHS

Row Heatmap

Country =

Act Name =

Compliance Heading =

Due Date =

Government Query =

Count

Status =

Impact Director =

Act Category =

	Act Category	Corporate	HR and Labour	Transition	Totals
Status	Impact Director				
Compliant	Yes	1	2		3
Deny By Performer	No	4			4
	Yes	1			1
With Approver	Yes	1			1
	No	6	8		14
With Performer	No	4	25		29
	Yes				
Totals		17	33	3	53

Create your own reports and pivots within app

## TICKET CENTRE

Active Tickets 1
Completed Ticket 0
Create Ticket

Select Company | Enter Subject | Select Priority | Select Category

Popups | [Icons]

Write Here...

Maintain & track Support response time for end users

# PERFORMER'S DASHBOARD

Glimpse of all obligation, trigger points, updates in single view

Performer ▾
Big Value India Pvt I ▾
Go

☰
📧
👤

- 🏠 Home
- 📊 Matrix View
- 🔄 Event Management
- 📄 Legal Resources
- 📖 Applicable Laws
- 📖 Definitions
- 📖 Regulatory Updates
- 📊 Reports & Dashboards
- 🗨 User Support
- 💬 Chat

**5**  
Countries

**5**  
Entities

**7**  
Locations

**18**  
Departments

Executed Compliance

**4.97%**

Compliant	Delayed	Denied
<b>7</b>	<b>9</b>	<b>13</b>

Pending Compliance

**95.03%**

Extreme	High	Medium	Low
<b>179</b>	<b>136</b>	<b>129</b>	<b>111</b>

Ageing Analysis

Upto 30 Days	<b>47</b>
31-90 Days	<b>59</b>
91-180 Days	<b>101</b>
181+ Days	<b>348</b>

Reported Compliance

**30**

Approved	Rejected	Pending
<b>16</b>	<b>0</b>	<b>14</b>

Estimated Penalty Risks

**\$ 2 mn**

Corporate Events

Assigned To Me	<b>19</b>
Triggered By Me	<b>19</b>
Compliance Assigned	<b>76</b>
Compliance Reported	<b>6</b>
Compliance Denied	<b>13</b>

Legal Updates

Overall	<b>4</b>
My Relevant Updates	<b>1</b>
My Notifications	<b>0</b>

<<
Aug ▾
2019 ▾
>>

SUN	MON	TUE	WED	THU	FRI	SAT
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

# LEGAL RESOURCES

Drill down to obligations, legal docs, etc from list of laws

Performer: BDD-GRC Demo (in) Go

COUNTRY	JURISDICTION	STATE	LEGAL CATEGORY	ACT NAME	LIST
India	National		Corporate	Prevention of Money laundering Act, 2002 to be read with Prevention of Money laundering Rules, 2005	<a href="#">List</a>
India	National		Environment, Health & Safety	Environment (Protection) Act, 1986 read with Batteries (Management and Handling) Rules, 2001	<a href="#">List</a>
India	State	Haryana	HR and Labour	Employment Exchanges (Compulsory Notification of Vacancies) Act, 1959 read with Employment Exchanges (Compulsory Notification of Vacancies) Rules, 1960	<a href="#">List</a>
India	National		Corporate	Equal Remuneration Act 1976 read with Equal Remuneration Rules 1976	<a href="#">List</a>
India	National		Commercial	Foreign Direct Investment Policy	<a href="#">List</a>
India	National		Corporate	Food Safety and Standards Act, 2006 read with Food Safety and Standards (Licensing and Registration of Food Businesses) Regulations, 2011	<a href="#">List</a>
India	State	Haryana	Taxation	Haryana Goods and Service Tax Act, 2017; Central Goods & Services Tax Act, 2017; Haryana Goods and Service Tax Rules, 2017; Central Goods & Services Tax Rules, 2017; Integrated Goods & Services Act, 2017; Integrated Goods & Services Tax Rules, 2017	<a href="#">List</a>
India	State	Haryana	Environment, Health & Safety	Haryana Non-biodegradable Material Manufacturing, Sale, Distribution, Stock, Usage, Disposal and Garbage Control Act, 1998	<a href="#">List</a>
India	National		Taxation	Income tax Act, 1961	<a href="#">List</a>
India	National		IT and Data Protection	Terms and Conditions - Other Service Provider (OSP) Category	<a href="#">List</a>
India	National		Corporate	Passport (Entry into India) Act, 1920 Read with Passport (Entry into India) Rules, 1950	<a href="#">List</a>
India	National		HR and Labour	Payment of Gratuity Act, 1972 read with Payment of Gratuity (Central) Rules, 1972	<a href="#">List</a>
India	National		HR and Labour	Payment of Bonus Act, 1965 read with Payment of Bonus Rules, 1975	<a href="#">List</a>
India	National		Anti Corruption	Prevention of Corruption Act, 1988	<a href="#">List</a>
India	National		HR and Labour	Rights of Persons with Disabilities Act, 2016 read with Rights of Persons with Disabilities Rules, 2017	<a href="#">List</a>
India	National		HR and Labour	Sexual Harassment of Women at Workplace (Prevention, Prohibition, and Redressal) Act 2013 read with Sexual Harassment of Women at Workplace (Prevention, Prohibition, and Redressal) Rules 2013	<a href="#">List</a>
India	National		IT and Data Protection	Telecom Regulatory Authority of India Act 1997 read with Telecom Commercial Communications Customer Preference Regulations, 2018	<a href="#">List</a>

Showing 1 to 17 of 17 entries

List of All Applicable Laws, Rules & Notifications..

HEADING	TITLE	CATEGORY	RISK RATING	SECTION	RULE	VIEW
Filing	Furnishing report of audit conducted under any other law	On-Going	High	Section 44AB	Rule 6G(1)(a)	<a href="#">View</a>
Filing	Furnishing of report of audit	On-Going	High	Section 44AB	Rule 6G(1)(b)	<a href="#">View</a>
Filing	Audit of business accounts under this act	Due-Date	High	Section 44AB, 139(1)	Rule 6G(2)	<a href="#">View</a>
Filing	Audit of professional accounts under this act	Due-Date	High	Section 44AB, 139(1)	Rule 6G(2)	<a href="#">View</a>
Filing	Audit of business accounts under any other law	Due-Date	High	Section 44AB, 139(1)	Rule 6G(2)	<a href="#">View</a>
Filing	Audit of professional accounts under any other law	Due-Date	High	Section 44AB, 139(1)	Rule 6G(2)	<a href="#">View</a>
Filing	Furnishing a return for computation of book profit	On-Going	High	Section 115JB(4)	Rule 40B	<a href="#">View</a>
Filing	Audit report in case of alternate minimum tax	On-Going	High	Section 115JC(3)	Rule 40BA	<a href="#">View</a>
Filing	Furnishing of certificate for removing of default of short collection and/or non collection of tax at source	Event-Based	High	Section 206C(6A)	Rule 37J	<a href="#">View</a>
Filing	Information or documents to be maintained by Indian concern	Due-Date	High	Section 285A	Rule 114DB(1), 114DB(2), 114DB(3)	<a href="#">View</a>
Intimations	Payment of advance tax on order of assessing officer	Event-Based	High	Section 210(5)	Rule 39	<a href="#">View</a>
Payments	Payment of tax for companies	Event-Based	High	Section 115JB(1)	NA	<a href="#">View</a>

List of All Compliance Obligations with each law



# CXO'S DASHBOARD

5 Countries

5 Entities

5 Locations

9 Departments

Overall Status

5.3%

Previous % Change: - Trend: -

Overall Stats

- ✔ Compliant: 3
- ⚠ Delayed Filing: 2
- 📄 Denied: 9
- ⏸ Pending: 250

Compliance Champion

John Doe: 30%

Impacting Board

- ✔ Compliant: 2
- ⚠ Delayed Filing: 2
- 📄 Denied: 1
- ⏸ Pending: 145

Pending Status

94.7%

Previous % Change: - Trend: -

Pending Stats

- 🔥 Extreme: 390
- 🔥 High: 23
- 🔥 Medium: 5
- 🔥 Low: 92

Ageing Analysis

- Upto 30 Days: 25
- 31-90 Days: 49
- 91-180 Days: 35
- 181+ Days: 141

Corporate Events

- Assigned Events: 10
- Triggered Events: 10
- Compliance Assigned: 43
- Denied By Team: 9

Compliance Heat Map

Location Wise | 2019

Search: \_\_\_\_\_

LOCATION	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
Big Value India Pvt Ltd	█											
Big Value Malaysia												
Big Value Mexico												
Big Value Tanzania Limited	█											
Big Value UAE												

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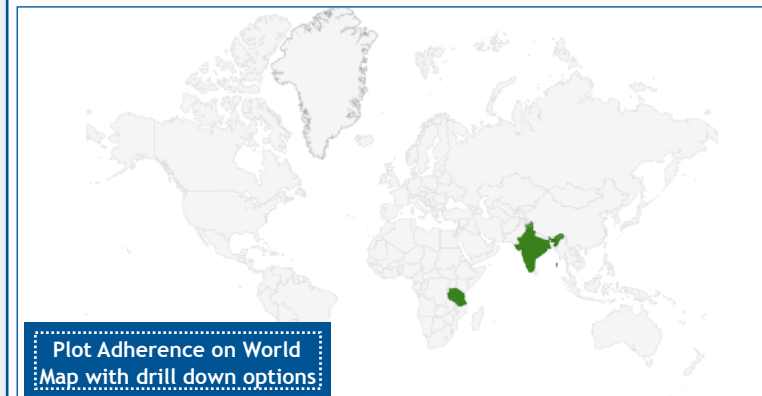
Compliance Health Report

Show 10 entries | Search: \_\_\_\_\_

ENTITY NAME	ESTIMATED MONTHLY FINE	COMPLIANCE			PENDING COMPLIANCE	
		COMPLIANT	DELAYED FILING	DENIED	OVERALL	IMPACTING BOARD
Big Value Tanzania Limited	T25.39 mn	2	1	9	98	24
Big Value India Pvt Ltd	₹ 5 mn	1	1	0	167	126
Big Value UAE	\$ 0	0	0	0	0	0
Big Value Mexico	\$ 0	0	0	0	0	0
Big Value Malaysia	RM 500 k	0	0	0	1	0

Showing 1 to 5 of 5 entries

## COMPLIANCE MAP



## PIVOTS / GRAPHS

Raw Heatmap

Country: India | Status: Impact Director

Act Category	Corporate	HR and Labour	Taxation	Totals
Compliant	1	1	0	2
Deny By Performer	4	0	0	4
Compliance Period	1	0	0	1
Due Date	1	0	0	1
With Approver	0	0	0	0
With Performer	4	0	0	4
<b>Totals</b>	<b>17</b>	<b>11</b>	<b>0</b>	<b>28</b>

Create your own reports and pivots within app

## TICKET CENTRE

Active Tickets: 1

Completed Ticket: 0

Create Ticket

Select Company: \_\_\_\_\_ | Enter Subject: \_\_\_\_\_ | Select Priority: \_\_\_\_\_ | Select Category: \_\_\_\_\_

Write Here...

Maintain & track Support response time for end users

Create