



Building a better working world

# EY forensic data analytics for legal and compliance response

Hosted by EY Virtual Analytics Infrastructure (EY Virtual)

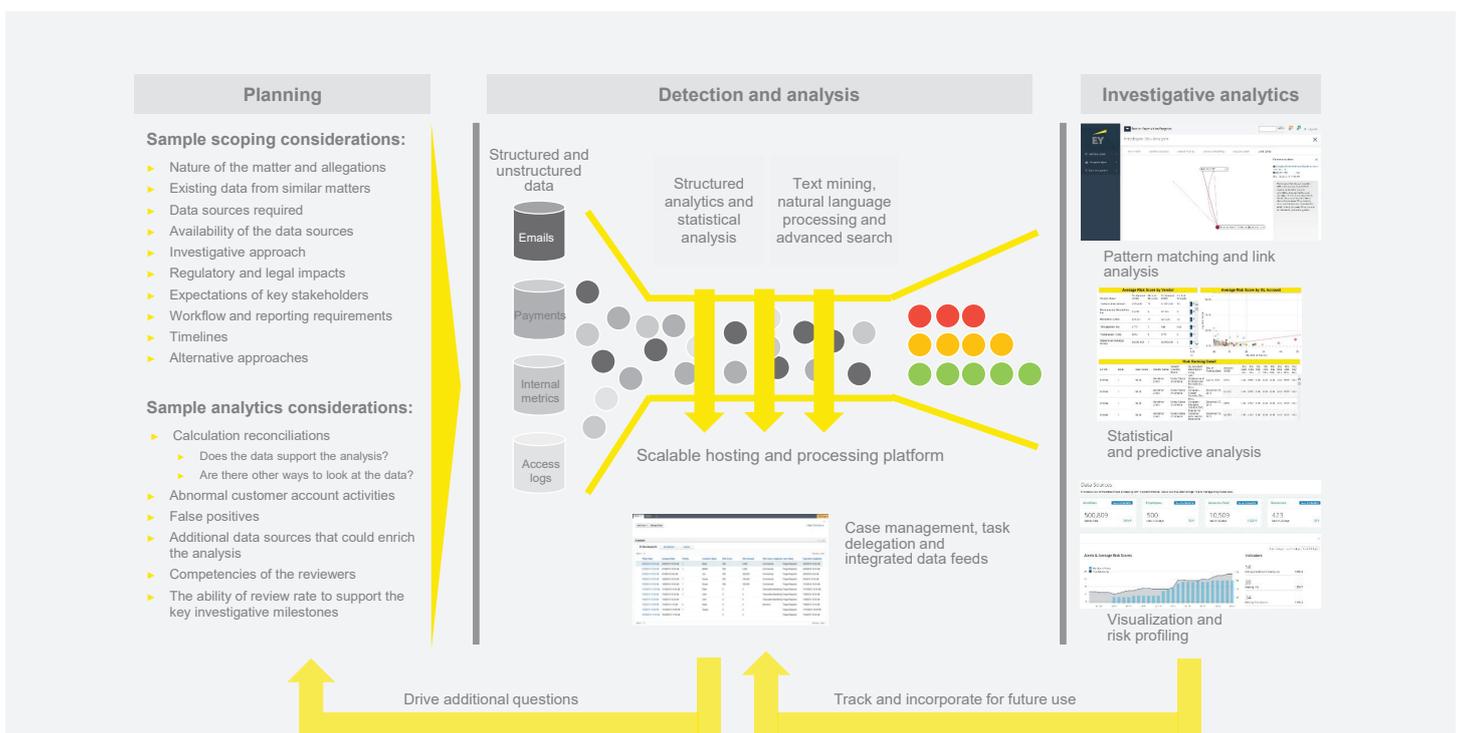
## Meeting the needs of a modern investigation

Today's investigations require the collection and analysis of vast amounts of structured and unstructured data. The increasing availability of digital evidence by volume and variety is advantageous to investigations. But many organizations are not set up to retrieve the data needed in a fast and effective manner. Investigations often require careful handling of data privacy concerns when allegations cross borders. The lack of understanding of the data involved can provide further hindrance to the investigation. The delay not only brings noncompliance risk but can also result in a dramatic increase in the costs of handling regulatory inquiries and litigation.

## EY's investigative framework

EY's investigative framework focuses on end-to-end capabilities, from planning and scoping to detection, analysis and reporting. We develop custom workflows and build them into the case management tools to streamline inquiries and investigative matters to keep them on track. Our approach focuses on:

- ▶ **High standards** – proven procedures for data acquisition, chain of custody, security of exhibits and contemporaneous note-taking practices
- ▶ **Precision** – insights that are rooted in fact, not based on approximations or generalized assumptions
- ▶ **Repeatability** – results that can be replicated with consistency



## Key features of EY's legal and compliance response analytics offering

### Multidisciplinary talents and cross-functional teaming

Accessing and packaging data for use in investigation or litigation defense requires a broad range of skills and experience. EY's team brings:

- ▶ Investigators who are well versed in international matters, data privacy laws and regulatory agendas
- ▶ Data scientists who can develop analytical models to uncover patterns and unearth causes, and apply econometric, financial, statistical and quantitative procedures to develop credible damage theories and models
- ▶ Subject-matter professionals with deep industry experience who can provide informed insights and communicate findings clearly, with relevant business context
- ▶ Fraud investigators with experience in financial and transactional systems and databases, and messaging and collaboration platforms

Our team is skilled at navigating the landscape of a complex organization structure and collaborating across the enterprise (e.g., IT, operations, front office, legal, compliance, HR) to establish the facts at the heart of the matter.

### Facts enriched by contextual data

We organize the information and analyze facts to present a convincing summary of what happened. Contextual insights gained from analytics also help define reasonable assumptions for damage estimations and communicate findings that are clear, concise and fact-based.

### Built on the EY Virtual platform

EY Virtual, as the host platform, offers the ability to consolidate a wide range of data sources (structured and unstructured) with multiple deployment and data-hosting options. The platform enables statistical and qualitative analysis, in conjunction with exploratory and predictive models. EY Virtual comes with built-in case management tools but can also integrate with a client's existing tools.

### Custom approach to meet the unique needs of each matter

EY Virtual gives our team the flexibility to choose the specific analytic tools required. We work with investigators, attorneys and other stakeholders to develop custom workflows that allow them to effectively identify and assess facts related to a matter, to triage areas that require further inquiry and to share information across the investigative team.

### EY in action

A large global bank faced inquiries from multiple regulators across several geographies related to allegations of sanctions violations. The inquiries required detailed reporting of the bank's interactions with individuals and companies with operations in sanctioned countries.

EY quickly mobilized a global team of data scientists and investigators with banking and financial product experience. The team helped the bank to identify the required data sources and organize them in a manner that supported analysis and reporting. A central, scalable data store was built to consolidate data from a range of systems, including payment and user data, as well as online banking logs, fax details and customer records. Our professionals developed custom workflows, coupled with data redaction tools, to manage the local data privacy requirements. Using advanced data analytics tools, the team developed a cohesive narrative of the bank's interactions with the individuals and companies of interest. The bank was able to meet the regulatory reporting requirements within the timeframe required, and to be compliant with local data privacy laws in the same time.

## Sample list of EY investigative services

### Anti-bribery and anti-corruption

- ▶ Foreign Corrupt Practices Act

### Regulatory response and compliance due diligence

- ▶ Market manipulation
- ▶ Sanctions and Office of Foreign Assets Control violations
- ▶ Anti-money laundering
- ▶ Compliance lookbacks
- ▶ Sales practices misconduct

### Whistle-blower and internal investigation

- ▶ False claims act
- ▶ Accounting impropriety
- ▶ Improper termination review
- ▶ Employer wrongdoing
- ▶ Employee misconduct
- ▶ Insider threat

### Mergers and acquisitions

- ▶ Pre- and post-deal diligence
- ▶ Anti-corruption diligence
- ▶ Cross-border disputes

### Intellectual property (IP) disputes

- ▶ Patents, trademarks and IP disputes
- ▶ IP theft

EY | Assurance | Tax | Transactions | Advisory

### About EY

EY is a global leader in assurance, tax, transaction and advisory services. The insights and quality services we deliver help build trust and confidence in the capital markets and in economies the world over. We develop outstanding leaders who team to deliver on our promises to all of our stakeholders. In so doing, we play a critical role in building a better working world for our people, for our clients and for our communities.

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### About EY Forensic & Integrity Services

Dealing with complex issues of fraud, regulatory compliance and business disputes can detract from efforts to succeed. Better management of fraud risk and compliance exposure is a critical business priority – no matter the size or industry sector. With approximately 4,500 forensic professionals around the world, we will assemble the right multidisciplinary and culturally aligned team to work with you and your legal advisors. We work to give you the benefit of our broad sector experience, our deep subject-matter knowledge and the latest insights from our work worldwide.

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