

Financial Services Advisory and Compliance

Fight Financial Crime With the Right Compliance Technology Services Partner

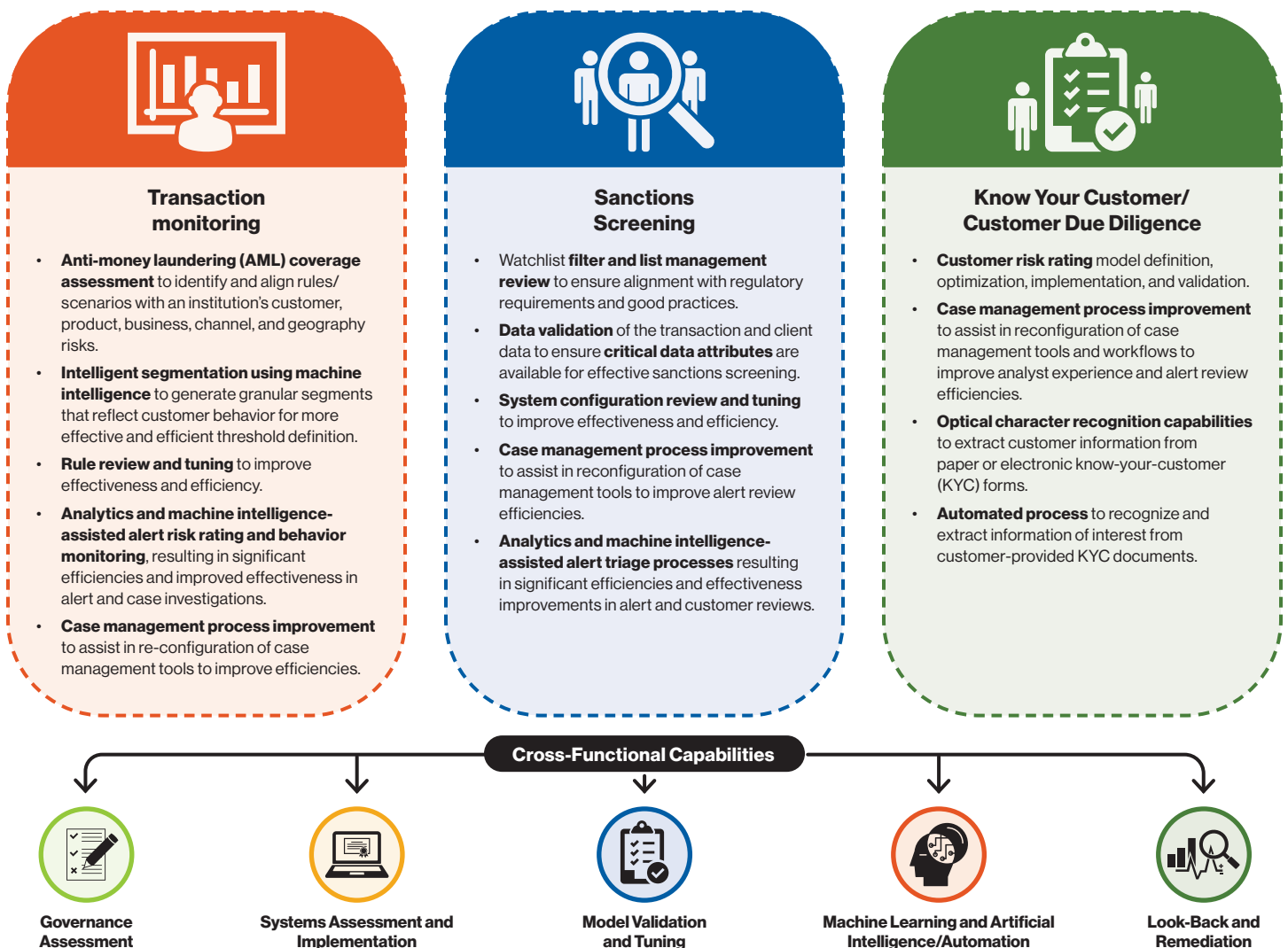
The growing sophistication of money laundering techniques and escalating compliance demands has elevated the need for a well-integrated compliance technology platform. Specifically, banks and financial institutions must balance subject matter expertise and technical acumen to effectively leverage technology as a key component of their proactive compliance program to efficiently and effectively monitor and respond to ever-changing financial crimes, money laundering, sanctions, and bribery risks.

Subject Matter Expertise, Data Analytics, and Technology Service

Our global investigations and compliance (GIC) practice provides holistic services related to customer due diligence, sanctions screening and transaction monitoring systems at a variety of financial institutions, from global, industry-leading banks, to small,

regionally focused institutions. Guidehouse's depth and breadth of financial crime compliance experience and knowledge help financial institutions optimize their compliance systems and processes and make them more effective at combating financial crimes.

GIC's subject matter experts combined with GIC's data analytics and technology team offer a broad range of solutions and services across the financial crime compliance spectrum:



Governance Assessment



- Harmonizing compliance program **policies, procedures, and desk operating procedures** within financial crime technology process, data governance, and regulatory requirements and expectations.
- Conducting **maturity model** assessment and creating implementation road map.
- Establishing KYC, AML, and sanctions screening **systems governance and change management procedures**.
- Designing operations **performance dashboards**, designing **management reports**, and establishing **reporting cadence**.
- Assessing program **resources effectiveness and efficiencies**.

Systems Assessment and Implementation



- Performing accelerated **system review, gap assessment, and selection of vendor platforms** to align with clients' requirements.
- Conducting initial and periodic **data quality assessment, data lineage, and data mapping** for watchlist filtering and transaction monitoring systems implementations.
- Supporting compliance with **end-to-end system implementation assistance**, including coverage assessment, requirements definition, data integration, testing, tuning, transition from legacy system, change management, and organizational readiness.
- **Performing independent pre- and post-implementation technology assessment**, including architecture review, data governance, and rules implementation, etc.

Model Validation and Tuning



- Performing end-to-end, pre- and post-implementation **model validation** driven by an institution's risk assessment.
- **Reviewing model effectiveness and efficiency**.
- Assessing and recalibrating **model configuration** (thresholds, scoring scales, etc.).
- Defining **tuning and recalibration** methodology.
- Validating and reviewing model **data accuracy, data integrity, and data completeness**.

Machine Learning and Artificial Intelligence/Automation



- **Partnering with world-class technology firms** to deliver proven and practical solutions that pass regulators' scrutiny while improving effectiveness and efficiency in detecting and investigating potentially suspicious behavior.
- Leveraging **unsupervised machine learning** to understand and monitor **transactions based on customer behavior**, and track changes in customer behavior to trigger KYC updates.
- **Developing machine learning-assisted alert triage and risk rating process** to streamline and improve alert and case disposition processes.
- **Automated case investigation and disposition document** creation using link analysis, automated data searches, and generation of natural writing prose with case and its disposition details.

Look-Back and Remediation



- Performing comprehensive **Office of Foreign Assets Control sanctions and transaction monitoring look-backs and KYC remediation** leveraging Guidehouse's proprietary STAR™ case management system.
- Automatically **prepopulating case notes to the disposition document** by implementing natural writing prose, link analysis, and automated data gathering.
- Leveraging automation to **extract, analyze, and document customer negative media information** to assist analyst in customer review and remediation.
- **Automation-assisted information extraction** such as historical transactions, additional account information, prior filed reports, etc., from various systems to aid alert review and to improve productivity of the analysts.

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About Guidehouse

Guidehouse is a leading global provider of consulting services to the public and commercial markets with broad capabilities in management, technology, and risk consulting. We help clients address their toughest challenges with a focus on markets and clients facing transformational change, technology-driven innovation and significant regulatory pressure. Across a range of advisory, consulting, outsourcing, and technology/analytics services, we help clients create scalable, innovative solutions that prepare them for future growth and success. Headquartered in Washington DC, the company has more than 7,000 professionals in more than 50 locations. Guidehouse is a Veritas Capital portfolio company, led by seasoned professionals with proven and diverse expertise in traditional and emerging technologies, markets, and agenda-setting issues driving national and global economies. For more information, please visit: www.guidehouse.com.

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