

ANTI-MONEY LAUNDERING SERVICES

Financial institutions and other organizations today face unprecedented external scrutiny and pressure to serve as the first line of defense in the global war on money laundering and terrorist financing. To avoid potentially severe consequences, institutions must proactively design robust antimoney laundering (AML), Bank Secrecy Act (BSA) and Patriot Act compliance programs. FTI Consulting offers the investigative and regulatory expertise global institutions require to implement effective compliance programs and to respond to regulatory agency inquiries, examinations and enforcement actions.

ANTI-MONEY LAUNDERING SERVICE HIGHLIGHTS

- **Multidisciplinary team** consisting of certified anti-money laundering professionals, certified fraud examiners, compliance specialists, former federal law enforcement officers and prosecutors.
- **Global reach** to assist multinational clients with expertise and services around the world, including South America, Europe, Asia, Africa and the Middle East.
- **Leading provider of independent investigative services** to organizations facing AML/BSA inquiries, regulatory examinations, investigations or enforcement actions.
- Complex data analysis and other technology offerings scalable to the immediate need, **ensuring phased and cost-effective investigations and forensic “look backs”**.
- Extensive experience providing **proactive AML compliance, governance and risk management** programs calibrated to an organization’s risk profile.
- Trusted source for **independent monitoring** of remediation efforts.

FTI Consulting’s AML professionals are highly experienced in complex financial fraud, embezzlement and anti-money laundering investigations initiated by the U.S. Department of Justice, the Federal Reserve, the Office of the Comptroller of the Currency, and other federal and state regulators. Our professionals not only lead investigations on a reactive basis, we also serve numerous clients as independent monitors of compliance remediation efforts and as trusted advisors in designing proactive compliance, governance and risk management programs.

WE PROVIDE COMPREHENSIVE ANTI-MONEY LAUNDERING SERVICES

Investigative and Business Intelligence Services

- **AML/Fraud Advisory Services-** FTI Consulting’s worldwide, multi-disciplinary professional teams provide a suite of investigative services that include leading self-initiated investigations or investigations resulting from regulatory or law enforcement inquiry. Our professionals include certified anti-money laundering specialists, forensic accountants, compliance specialists, computer forensic experts, former federal prosecutors and law enforcement officials who understand the value of enabling clients to make informed decisions, maximize opportunities and protect assets. Our global investigative skills include experienced investigators in South America, Europe, Asia, Africa and the Middle East.
- **Due Diligence and Business Intelligence Services-** At FTI Consulting, we understand that the rigorous analysis of information is critical to strategic business decisions that involve high risk clients and the reputational risk that they pose to global financial institutions. Our professionals include former law enforcement officials and intelligence analysts who uncover and analyze source documents and provide objective assessment of reputational and regulatory risks.
- **Forensic Technology-** Our global professionals lead the industry in strategic and innovative technology uses for data discovery, analysis, management and security, integrating these services with the larger investigation. Our groundbreaking, targeted strategies enable us to quickly assess situations and conduct swift, targeted searches for specific information.

Governance, Risk and Compliance Services

- **Remediation and Compliance Project Assistance**- Our professionals have extensive expertise in remediation of accounts, policies and procedures and in the development of control systems to create flexible, effective compliance programs calibrated to specific risk profiles.
- **Independent Testing and Pre-Regulatory Examinations**- A critical component of an institution's AML compliance program is the ability to assess the core control culture and report on its effectiveness. Our expertise in compliance program management, regulatory investigations and monitorships, and internal control assessments are key elements in our critical analysis and solutions for financial institutions.
- **Risk Assessment and Compliance Program Management**- We offer unparalleled experience in providing AML and OFAC risk assessments, policy and procedure development, employee and board level training along with enterprise wide risk management solutions.

Technology Services

- **Transaction “Look Back” Analysis Services**- FTI Consulting's expertise in data acquisition, migration, modeling and statistics provides efficient analysis of transactional activity needed to proactively identify key transactions relating to suspicious activity for FinCEN reporting requirements.
- **Transaction Monitoring Implementation Assistance**- With both private and public sector expertise, our professionals have project management experience in vendor selection and in system implementation. Our services include assessments for data integrity and data availability for both transaction monitoring and case management solutions.

FTI CONSULTING'S ANTI-MONEY LAUNDERING SERVICES TEAM IS A LEADER IN COMPLEX AML INVESTIGATIONS

- Selected by the U.S. Attorney's Office (E.D.N.Y. and S.D.N.Y.) to support the independent examiner of the Bank of New York Mellon Corporation pursuant to the terms of a nonprosecution agreement. As part of the independent examiner's team, FTI Consulting is responsible for monitoring and reporting to the USAO, Federal Reserve Bank of New York, New York State Banking Department and the Bank of New York Mellon Corporation on the state of the bank's suspicious activity reporting practices and anti-money laundering procedures.
- Retained by a global Private Bank to assist in its defense and cooperation with a U.S. Department of Justice inquiry and investigation into the institution's BSA/AML program. FTI Consulting led an integrated forensic investigation, including computer forensic recovery, transaction analyses and policy and procedure redesign. Additional services included the creation of the firm's remediation action plan approved by Federal and State regulators along with assisting in the upgrade and implementation of a global transaction monitoring system.
- Hired by a major U.S. financial institution to investigate allegations of Foreign Corrupt Practices Act (FCPA) violations within the investment bank and money laundering concerns in the retail, correspondent and private banking business. Anti-money laundering and investigative services included a transaction analysis, implementation of fuzzy logic name searches, and due diligence and business intelligence research in offshore and South American locations.
- Engaged to assist a global financial services institution facing Federal Reserve and New York State Banking Department targeted exams with a historical evaluation of international wire transfer activity and the implementation of a Forensic “Look back” analysis for evaluation of suspicious and unusual activity using rules-based and statistical criteria.



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CONSULTING™

Critical thinking at the critical time™

About FTI Consulting

FTI Consulting, Inc. is a global business advisory firm dedicated to helping organizations protect and enhance enterprise value in an increasingly complex legal, regulatory and economic environment. With more than 3,700 employees located in 22 countries, FTI Consulting professionals work closely with clients to anticipate, illuminate and overcome complex business challenges in areas such as investigations, litigation, mergers and acquisitions, regulatory issues, reputation management and restructuring. The company generated \$1.4 billion in revenues during fiscal year 2010. More information can be found at www.fticonsulting.com.

Certain investigations are conducted by FTI Investigations LLC, a licensed entity. California: 25952, Florida: A2700115, Georgia: PDC002343, Illinois: 117-001324, Indiana: PI20900516, Massachusetts P-1709, Michigan: 3701205620, New York: 11000124835, North Carolina: 4148, Ohio: 200821001413, South Carolina: 2647, Texas: A15366