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Independent Corporate Monitor

OVERVIEW



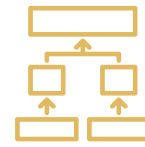
CHALLENGE

A global money services businesses needed to identify and recommend to a governmental enforcement agency an independent corporate monitor who had both the operating and the compliance expertise to address material gaps in the company compliance program and assist the company in meeting regulatory expectations. The government accepted that recommendation.



SOLUTION

Client/government selected Treliant because of its deep operational experience and detailed knowledge of the industry's and the company's compliance obligations.



APPROACH

Treliant took the time to analyze the client's operating environment, operational capabilities and limitations, and its current state compliance and risk management oversight. Treliant compared those competencies with others in the industry. Although Treliant served as an independent monitor, the team worked collaboratively with the client to identify critical gaps in the company's risk management and compliance systems and provided practical and operationally achievable and sustainable solutions to those gaps.

RESULTS

- ✓ As a result of Treliant's comprehensive review, the company was able to develop and maintain a reasonably designed compliance and risk management program that was operationally achievable and met regulatory enforcement expectations.
- ✓ This process allowed the company to emerge from its enforcement action and return to good standing.

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