

*«We focus on our core competency,  
so you can concentrate on yours.»*

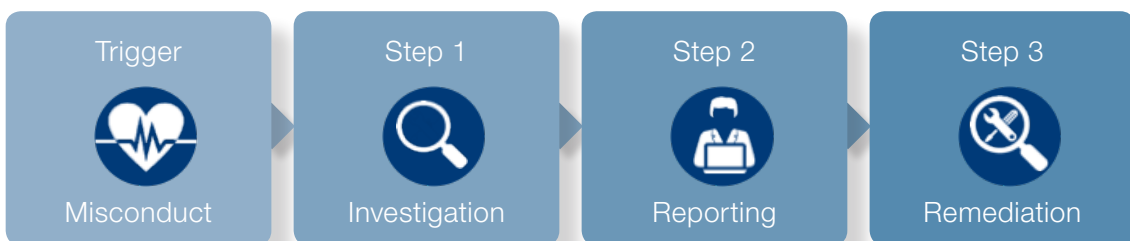
## INVESTIGATION & REMEDIATION

### In Banking

#### Background

No business is fully immune to mistakes and misconduct. Fraud and topic-specific breaches – e.g. of cross-border systems and processes – can be reasons for ‘non-compliance’ within the company. However, an investigation may involve a conflict of loyalty and independence that can lead to unease in the company and a negative impact on the daily business.

Geissbühler Weber & Partner supports you in this kind of situation as an independent party. By means of an investigation, the issues are analysed and the facts delivered in a report. Moreover, we suggest recommendations to remedy the identified deficiencies. These recommendations can be implemented in order to restore compliance.



### From investigation to remediation

#### Step 1: Investigation – establishment of the facts

- Evaluation of databases (emails, control applications and systems)
- Analysis of documents
- Answer to central questions; for instance:
  - How did the incident happen?
  - Who was involved in the incident?
  - Which processes and systems failed to detect the incident?
  - What is the damage to the bank?

# INVESTIGATION & REMEDIATION

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### Step 2: Reporting – statement of facts and recommendations

- Presentation of the facts of the case
- Recommendations to remedy the detected shortcomings and weaknesses

### Step 3: Remediation – implementation of the measures

- Remediation of the 'non-compliance' state
- Implementation of measures to avoid future risks

## Your advantages with Geissbühler Weber & Partner

With Geissbühler Weber & Partner, you have a partner that will support you in meeting the regulatory requirements.

By involving an independent third party, you show the supervisory authorities that your institution reacts to risk issues proactively.

### EXPERT KNOWLEDGE

We possess in-depth expert knowledge in different regulatory fields.

### RESOURCES

With the external support of an expert, your daily business operates as usual without disruption. Therefore, regulatory projects can be implemented in a timely and efficient way.

### INDEPENDENT PARTNER

As an independent partner, we are free from possible conflicts of interest within your organisational structure. This allows us to ask critical questions and assess potential risk factors.

### BEST PRACTICE UND BENCHMARKING

Thanks to years of experience, we know the industry best practice approaches. In addition to implementation of regulatory standards, we present you with existing benchmarks.

We look forward to hearing from you



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