In an effort to protect consumers and shareholder value, a growing number of U.S. and European regulatory agencies are requiring active monitoring of employee communications and actions to prevent fraud and abuse. These regulations are especially prevalent within financial services, pharmaceuticals, and other businesses utilizing supply chains, and target insider trader, market manipulation, corruption, bribery and other inappropriate, policy-violative or potentially criminal behavior.

While many companies have implemented compliance monitoring programs, these have been largely expensive and inefficient, for a variety of reasons. These difficulties include:

- **Monitoring the growing number of cloud-based messaging** and social/collaboration applications within the modern business environment.

- **Cutting through the noise** and high volume of false alerts to hone in on the critical activities.

- **Harmonizing compliance monitoring** activities with applicable data privacy regulations from the Food and Drug Administration, Securities and Exchange Commission, European Union and others.

- **Effectively acting upon alerts** and escalating problematic activities in a defensible and timely manner consistent with legal and regulatory principles.

- **Remaining agile** within a rapidly evolving global regulatory environment.
The First Line of Defense

For risk and compliance professionals who need to cost-effectively monitor critical activities to facilitate regulatory compliance, FTI Consulting’s Compliance Monitoring Services combine deep regulatory experience with advanced technology to deliver a customized solution that reduces organizational risk.

Whether as a short-term project or an ongoing managed service, FTI Technology’s Compliance Monitoring Services address:

- **The right data is collected and monitored.** From email and audio files to enterprise-level social collaboration and messaging systems, such as Skype for Business, Slack or Bloomberg Chat, FTI Technology’s team can connect these disparate systems and automate the proactive monitoring of communications.

- **The compliance monitoring program is implemented for maximum effectiveness.** This can span program and workflow design to change management training and managed services.

- **Leading-edge technology can leverage artificial intelligence** to learn from previous reviewer decisions and minimize false positives. The FTI Technology team has deep experience working with AI technology to fine-tune keywords and eliminate unintended bias.

- **The program stays current with evolving global regulations.** The FTI Technology team can conduct regular audits and program updates to facilitate ongoing compliance.

- **Critical matters are escalated for legal or regulatory response in a defensible and cost-effective manner,** leveraging FTI Technology’s expertise in e-discovery and managed review.
Unmatched Expertise

The FTI Technology team of professionals – comprising former regulators, forensic investigators, law firm counsel, litigation support, in-house counsel, data scientists and technologists - provides:

**TECHNICAL EXPERTISE**
FTI professionals have extensive experience working with diverse data environments, including off-the-shelf and in-house enterprise platforms and applications. The team is also well-versed in efficiently navigating complex IT environments across the globe.

**LEGAL AND REGULATORY COMPLIANCE EXPERIENCE**
Our global team is adept at designing and implementing compliance programs to adhere to specific legal or regulatory requirements, including SEC Rule 17a-4, 23 NYCRR 500, 17 CFR § 240.17a-4, DPA, GDPR, 21 CFR 202, HIPAA, PCI DSS, etc. FTI can also develop defensible documentation and have the credentials and experience to testify in court about the methods used. Our team is comprised of practitioners with a wide range of legal, privacy, security and technology certifications.

**EFFECTIVE PROGRAM EXECUTION**
FTI is adept at translating high-level requirements into an executable project plan and effectively manage these projects from inception through completion. No matter the type or size of the matter, we can leverage proven, out-of-the-box workflows or design custom processes to quickly and cost-effectively deliver results. We have decades of experience developing standardized processes and templates, as well as implementing best practices and documenting workflows that integrate seamlessly with the client’s business model.

These are the terms our clients use to talk about us. We pride ourselves on our long-standing client relationships and deep expertise in legal and regulatory matters.

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**OUR CLIENT SERVICE IS DIFFERENT**

We are in the trenches with you and your success is our priority. We routinely go “above and beyond” to ensure your goals are met.

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**WE ARE FOCUSED ON PRODUCING TANGIBLE RESULTS AND ROI**

We can develop and execute programs that keep a keen focus on the bottom line without sacrificing quality.

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**OUR SOLUTIONS ARE INNOVATIVE, REPEATABLE AND DEFENSIBLE**

We leverage our experience on large and complex legal and regulatory challenges into practical and proven solutions.

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**WE COLLABORATE ACROSS TEAMS AND STAKEHOLDERS SO THE MISSION SUCCESSES**

From legal and IT to compliance and security, our team is adept at fully integrating into the organization and securing the right buy-in to ensure project success.

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**WE ARE TRUSTED LEADERS IN LEGAL AND REGULATORY MATTERS**

Our experts span a broad range of areas that help organizations tackle every aspect of complex data challenges. This includes technical, legal, regulatory, and investigative expertise, as well as more nuanced skillsets, such as change management.

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**WE TAKE A GLOBAL APPROACH**

Our teams and data centers span the globe so that your solutions are conducted in adherence to local data privacy laws and cultural customs.
Trusted Global Leaders in Information Governance, E-Discovery, and Investigations

As part of FTI Consulting, FTI Technology offers deep experience in delivering tangible results in the context of investigations, litigation, mergers and acquisitions, regulatory issues, reputation management and restructuring. Our professionals, including forensic experts, corporate investigation specialists and technology and e-discovery professionals, are industry leaders experienced in many of the largest e-discovery matters of the past decade.
FTI Technology solves **data-related business challenges**, with expertise in legal and regulatory matters.

As data grows in size and complexity, we help organizations better govern, secure, find, analyze and rapidly make sense of information. Innovative technology, expert services and tenacious problem-solving provide our global clients with defensible and repeatable solutions. Organizations rely on us to root out fraud, maintain regulatory compliance, reduce legal and IT costs, protect sensitive materials, quickly find facts and harness organizational data to create business value. For more information, please visit [www.ftitechnology.com](http://www.ftitechnology.com).
About FTI Consulting

FTI Consulting is an independent global business advisory firm dedicated to helping organizations manage change, mitigate risk and resolve disputes: financial, legal, operational, political & regulatory, reputational and transactional. FTI Consulting professionals, located in all major business centers throughout the world, work closely with clients to anticipate, illuminate and overcome complex business challenges and opportunities. For more information, visit www.fticonsulting.com and connect with us on Twitter (@FTIConsulting), Facebook and LinkedIn. FTI Consulting, Inc., including its subsidiaries and affiliates, is a consulting firm and is not a certified public accounting firm or a law firm.

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