

# Forensic & Integrity Services

Proactively managing  
risk, compliance and  
regulatory enforcement



The better the question.  
The better the answer.  
The better the world works.



**EY**

Shape the future  
with confidence



# EY Forensic & Integrity Services

When facing acts of fraud, government investigations, regulatory inquiries, major litigation or transactional disputes, clients turn to Ernst & Young LLP for timely and experienced assistance. Our forensic accountants and technologists, most of whom are credentialed professionals, including as certified fraud examiners, anti-corruption professionals, anti-money laundering professionals or other, work with our clients' stakeholders, including legal counsel, internal audit teams, and compliance departments to investigate and evaluate complex issues and develop practical approaches to address operational challenges.

**Our multidisciplinary professionals are leaders in their field, drawn from both industry and the public sector.** We apply the collective knowledge and insight gleaned from working across industries and geographies to help our clients conduct fraud risk assessments, institute proactive anti-corruption programs, utilize forensic data analytics, and address complex business and financial challenges to help corporations manage risk and improve regulatory compliance.

Managing risk in a global organization is critical, especially in today's multijurisdictional regulatory environment. Fraud, improper business practices and compliance concerns can emerge almost anywhere, and the consequences have never been more severe.

Your stakeholders and customers rely on you to anticipate and manage these risks. When issues or disagreements arise, you need to respond quickly and address them responsibly. That's why many companies around the world – and their law firms – turn to EY Forensic & Integrity Services.

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Corporate integrity and a focus on compliance are paramount. It means behaving in a way that protects the organization and generates long-term value for communities and other stakeholders.

## Liban Jama

EY Americas Forensic  
& Integrity Services Leader



# Services offerings

## Investigations and Compliance



### Investigations

- Financial reporting and securities fraud
- Noncompliance with laws and regulations including:
  - Bribery and corruption
  - Sanctions and money laundering
  - Sustainability
- Asset misappropriation
- Assets and funds tracing
- Investigation of allegations in class action litigation
- Integrated and automated compliance workflow management

### Ethics and compliance

- Ethics and compliance program advisory services
- Compliance and maturity assessments, monitoring and improvements
- Policies and training
- Integrated and automated compliance workflow management
- Analytics for controls and compliance monitoring

### Third-party risk management and integrity diligence


- Channel partner and vendor due diligence
- M&A target background checks
- Watchlist and sanctions compliance support

## Transaction Forensics



- Pre-acquisition anti-corruption due diligence
- Contractual language assessment
- Post-acquisition analysis, and integration and forensic lookback
- Post-closing assistance with preparation of accounting mechanism
- Pre-arbitration dispute analysis
- Fund and strategic acquirer activities, including pre-IPO compliance and diagnostic review

## Forensic Data Analytics



- Structured data discovery
- Forensic data management and data science for litigation, investigation and regulatory response
- Analytics for controls and compliance monitoring
- Technology-enabled managed services



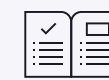
# Services offerings

## Discovery Services



- Preservation and collection of electronically stored information
- Computer forensics, data mining and analysis
- Early case assessment
- Technology-assisted review
- Document review services in response to or in anticipation of litigation
- Information governance to manage information effectively to minimize legal risks and reduce costs
- Oversight and coordination across all EDRM stages
- Educating teams on eDiscovery best practices and tools
- Leveraging of AI toolkits to analyse historical data to understand trends and patterns

## Forensics Disputes



- Consulting and testimony
- Damages analysis and quantification
- Financial analysis and modeling
- Assets and funds tracing
- Expert determinations, arbitrators
- Alternative dispute resolution

## Crisis Management Services and Incident Response



- Handle and support (critical/major) incidents - proactively and reactively
- Investigation and crisis management and coordination
- Remediation event planning and execution assistance
- Computer forensics support
- Regulatory investigations
- Risk assessment for remediation of business disruption
- Executive (crisis) communications assistance and Governance
- Dark web monitoring

## Insurance Claims Services



- Measure, document, and prepare complex insurance claims: Includes business interruption, property damage, extra expense, contingent time element, stock loss, cyberbreach, etc.
- Develop strategic claim recovery plans
- Collect and manage extensive data efficiently and accurately
- Quantify the claim
- Handle external information requests
- Educate stakeholders on the claims process and the company's operations
- Share best practices in risk management and claims development

# Sector highlights

## Financial Services

Our Forensics financial services team includes business strategists, fraud investigators, regulatory specialists, former law enforcement, eDiscovery specialists, technologists and industry leaders, and it brings fresh thinking and sector knowledge across wealth and asset management, banking and capital markets, insurance and FinTech. From tech-enabled innovation and new market entrants to intense cost pressures and rising customer expectations, our objectives are to help our clients innovate, grow, transform and protect their businesses to meet their needs. In this highly competitive, intensely regulated and globally integrated environment, financial services firms must navigate complex challenges to provide innovative services that drive credibility and client trust.

## Consumer and Health

Our Forensics Consumer and Health team focuses on the unique needs of this complex and highly regulated industry. Covering all parts of the health and life sciences sectors, our industry team has extensive experience with government enforcement, high-profile investigations, compliance programs, anti-fraud analytics and independent monitorships. We support clients with eliminating fraud, waste and abuse, reducing regulatory risk, resolving disputes and promoting corporate integrity. Our integrated global network includes more than 500 professionals with significant industry experience and a more than 20-year record of supporting the industry in its most complex challenges.

## Private Equity

The Forensics Private Equity (PE) team focuses on preserving value for PE funds while protecting portfolio company value from fraud, legal and regulatory actions. We work with deal teams and operating teams and management to address these challenges, both proactively and in response to an emerging crisis. We apply a forensic lens to a transaction or ongoing performance concern. We help clients investigate concerns of criminal activity or noncompliance e.g., bribery and corruption, and conduct data analytics, separation or privacy protections, in addition to navigating government contracting requirements. We also address emerging regulatory matters, including ESG, trade sanctions, safe harbor disclosures, etc.

## Industrials and Energy

The energy sector faces an unprecedented level of scrutiny by governments, the media and regulators. The deregulation of energy trading markets and a wave of mergers and acquisitions in the oil and gas sector have also placed companies under increasing regulatory scrutiny. We have a long track record of working closely with energy clients and their legal advisors and regulators in the prevention, investigation and remediation of fraud, bribery and noncompliance issues. Our global team consists of cross-discipline energy professionals in over 70 countries, including a breadth of experience in nonrenewable and renewable energy, including oil, gas, electricity, nuclear, coal, wind, solar, hydropower and biofuels.

## Government and Public Sector

Our Forensics Government and Public Sector team is dedicated to combating fraud, waste and abuse, and helping governments navigate a fast-changing environment to solve their most critical problems. We support clients at various levels of government with investigations; assessing compliance management and implementing procedures aimed at reducing compliance risks; pursuing and expediting financial recovery and mitigation efforts through federal grant opportunities after catastrophic events; and utilizing forensic technology to prevent, detect and respond to instances of misconduct.

Our team of former government executives, inspector generals, law enforcement, CPAs and forensic accountants, with backgrounds in grants management, compliance and investigations, offer different perspectives to collaborate with governments when faced with proactively mitigating fraud, waste and abuse, and responding to moments of crisis, like disasters or regulatory and public scrutiny.



# Service highlights

## ESG Services

Environmental, social and governance (ESG) issues are driving companies to refocus their legal and compliance resources. Amid advancing global regulations, activist litigation and product scrutiny, it is imperative that ESG programs evolve to withstand regulatory examination and legal threats. As companies adapt, they should weigh public-facing statements against reputational risks that may be tantamount to “greenwashing” or other negative interpretation, regardless of a statement’s intent.

Our Forensics team conducts governance risk assessments and preemptive diagnostics to identify red flags. If something does go wrong, we can support our clients by analyzing historical disclosures and investigating to evaluate and quantify the extent of reporting deficiencies, all while supporting responses to counsel and regulators.

## Government Contract Services

Our public sector practice offers services focused on fraud prevention and detection, including the development and design of fraud control frameworks, investigations and the provision of highly sophisticated tools. These services are crucial for uncovering financial irregularities and ensuring accountability. We also assist in helping government departments and agencies adhere to financial regulations and standards, by performing comprehensive compliance investigations as requested. In addition, we offer full support of governmental organizations when faced with legal disputes, investigations or public inquiries. This includes expert services and support, including eDiscovery and document management, for legal proceedings and governmental inquiries.

# Diversity and inclusiveness

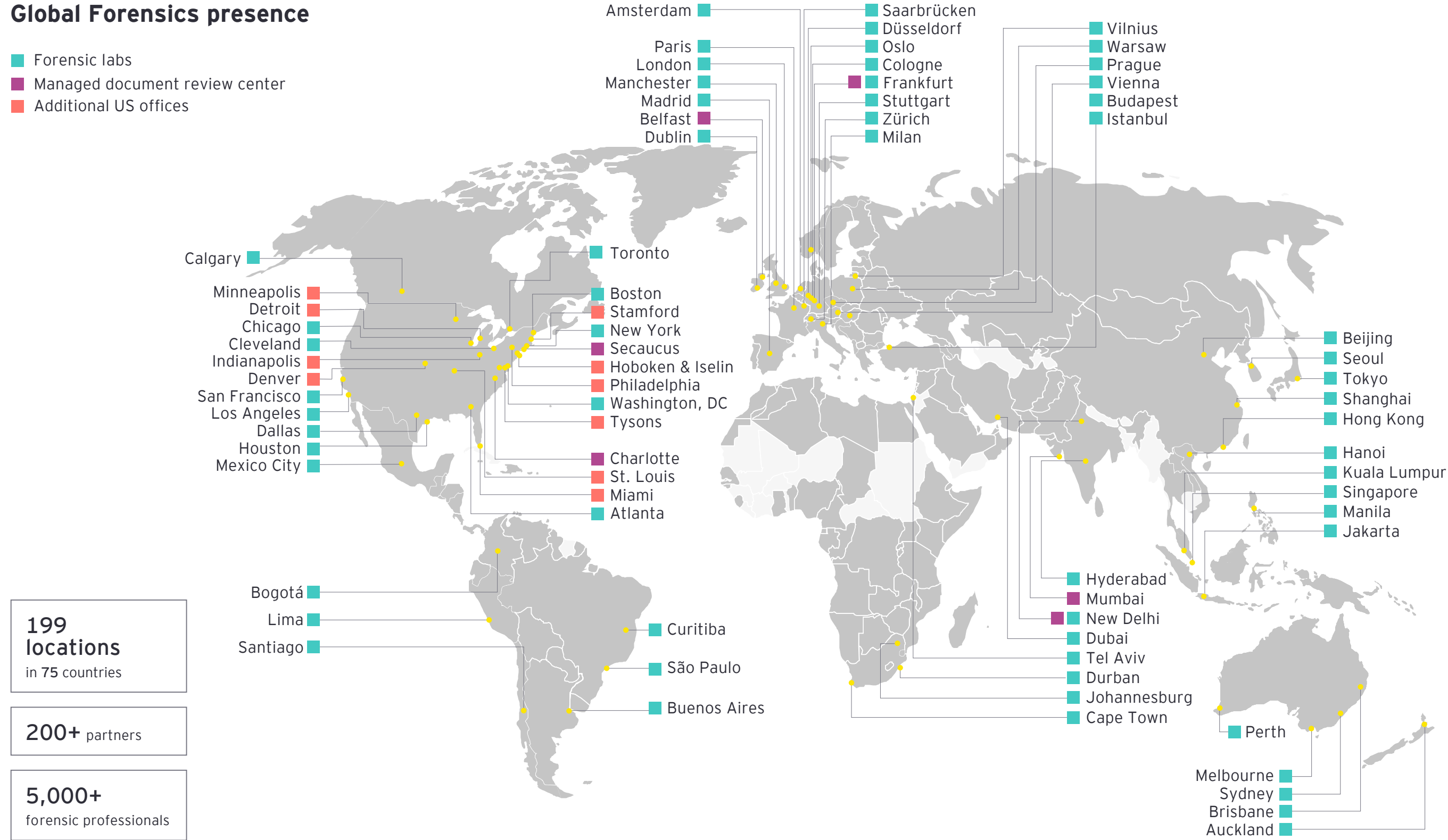
Our commitment to diversity and inclusion: turning good intentions into meaningful actions

Diversity and inclusion are core to who we are and how we work. We hold a collective commitment to foster an environment where all differences are valued, practices are equitable, and everyone experiences a sense of belonging – where people are inspired to team and lead inclusively in their interactions every day. We maximize the power of our differences to realize the full potential of our employees working closely with diverse clients. This drives better decision-making, stimulates innovation, and increases organizational agility and resilience. We believe that diversity leads to a better understanding of our clients’ needs and, ultimately, better solutions.

## Global presence

### Global Forensics presence

- Forensic labs
- Managed document review center
- Additional US offices





# EY Canada

## Forensic & Integrity Services Leaders



**Benoit Legault**

CPA, CPA IFA, CFE, CFF

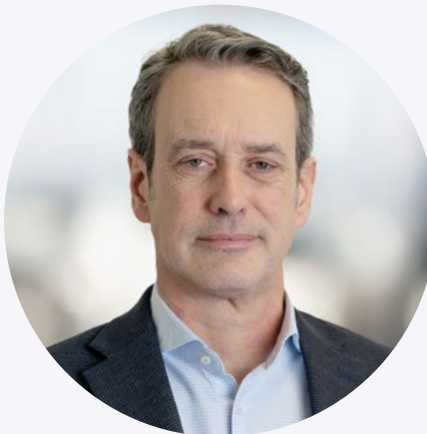
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