

Electronic Communication Monitoring & Review Support

Reducing the burden and cost of regulatory compliance.

- ▶ Professionals with relevant, industry-specific backgrounds and years experience
- ▶ Tailored solution that reflects unique business objectives and regulatory requirements
- ▶ Handle large communication review spikes without increasing permanent staff or resources



Why Consilio?



Over ten years of experience monitoring & reviewing electronic communications



Global team that can support your monitoring efforts anywhere in the world



Proven methodology, best practices and quality control processes

Our Team

- Over 10 years of experience working with numerous Fortune 100 financial institutions, broker-dealers and companies in highly regulated industries—such as oil and gas, pharmaceuticals and insurance.
- Reviewed millions of electronic communications when responding to SEC / CFTC / DOJ / FINRA inquiries, investigations, litigations and street-wide sweeps.
- Relevant, industry-specific backgrounds and years of electronic communications and document review experience

Monitoring and reviewing electronic communications can be a daunting, burdensome and costly task regardless of the driver. Our years of experience and subject matter expertise, ability to scale and notable history of significant cost reduction are valuable complements to our clients' existing processes, empowering them to meet increasing regulatory compliance demands and handle large communication review spikes without increasing their permanent staff or resources. From the initial planning stages through detailed review, flagging and reporting, we provide our clients with the review resources, analytics and process improvements to readily scale their operations and reduce the burden and cost of communication monitoring.

Our Approach

Whether augmenting a formal program already in place or developing one from the ground up, we partner with clients to tailor a solution that reflects their organization's unique business objectives and regulatory requirements. We offer a full suite of services—from process assessment and improvement to a deep bench of review resources—to meet our clients' needs.

Initiation & Planning

We collaborate with the risk and compliance, IT and—if necessary—legal departments to initiate the project plan, identifying core objectives and business requirements and establishing success criteria.

Definition & Training

Our joint team defines business risks, a communication-based lexicon and triggers and leverages leading technology and tools to identify and monitor electronic communications. The review team is trained on jointly developed protocols and communication surveillance, monitoring and review.

First-Level Review

The risk and compliance departments direct and supervise our review professionals, providing written supervisory procedures (WSPs) to guide the first-level review of the electronic communications triggered during surveillance and monitoring—and, if necessary—the underlying detailed documents that support those communications.

CLIENT SUCCESS

Global Bank and Broker-Dealer

The risk and compliance department of a global bank and broker-dealer was faced with the daunting task of performing a supervisory and quality control review of hundreds of thousands of monthly communications. Utilizing the client's policies and written supervisory procedures, we were tasked with flagging communications requiring additional review over a six-month period, validating quality control and identifying potential violations for escalation to management.

We provided a 25% increase in review capacity, saving the client 20% over hiring full-time equivalents. Our team completed the project four weeks ahead of schedule, identifying opportunities for quality control process-improvement along the way.



Ready to Learn More?

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