

Global Bank & Broker-Dealer Large Supervisory Review & QC

Company Profile

A global bank and broker-dealer

Matter Summary

A high-volume supervisory and quality control review requiring additional assistance.

Services Utilized

- Document Review
- Risk Management & Compliance

Client Challenge

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. With hundreds of thousands of monthly communications flagged for review (over a million annually), the client requested support in meeting these high-volume demands.

The client's existing internal resources dedicated to supervisory surveillance and review needed assistance not only to meet its regulatory requirements but also to conduct an independent quality-control review of the work performed.

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.

Consilio Response

Working under the direct supervision and guidance of the risk and compliance department, we readily deployed a full-time, experienced team of financial services document-review specialists to the client's offices to supplement its existing internal staff. This increase in staff provided a 25% increase in review capacity.

Results Achieved

Resource Availability and Scaling:

- Rapidly assimilated into the client's existing internal team, expanding its review capability within weeks of the request
- Provided a team of professionals experienced in financial services communications review
- Provided flexible resources at a very competitive cost —significantly lower (estimated at 20% savings) than if full-time equivalents (FTEs) were hired

Timely and Knowledgeable Assessments:

- Provided timely assistance in identifying and providing professional follow-up related to confirmed and potential communication violations
- Completed project four weeks ahead of schedule
- Identified opportunities for quality control process improvement

Proven Solutions for Risk Management, Data Forensics, eDiscovery, Document Review, and Law Department Management

Consilio is the global leader in legal consulting and services. Our worldwide team of professionals brings their expertise and a commitment to serve to every engagement, partnering with our clients to develop creative solutions for their most pressing challenges.

From our dedicated Solutions Experts and Project Managers—who hold over 300 Relativity Certifications—to our quality assurance, technology and security teams, every eDiscovery and Risk Management professional across our practice areas are focused on helping you find what matters when it mattersSM.



By the Numbers

4,000+

Team Members, including eDiscovery, Cybersecurity, Data Forensics & Compliance Risk Assessments Experts

9,500+

Matters Currently Hosted **Globally**

70+

Regions with Consilio Presence **Spanning 11 Countries**

2,500+

Active Review Professionals

Our Values



Serve as a Trusted Advisor

Guiding clients through their toughest challenges



Deliver Service Excellence

Setting the bar high and surpassing expectations



Right Solutions, Right Results

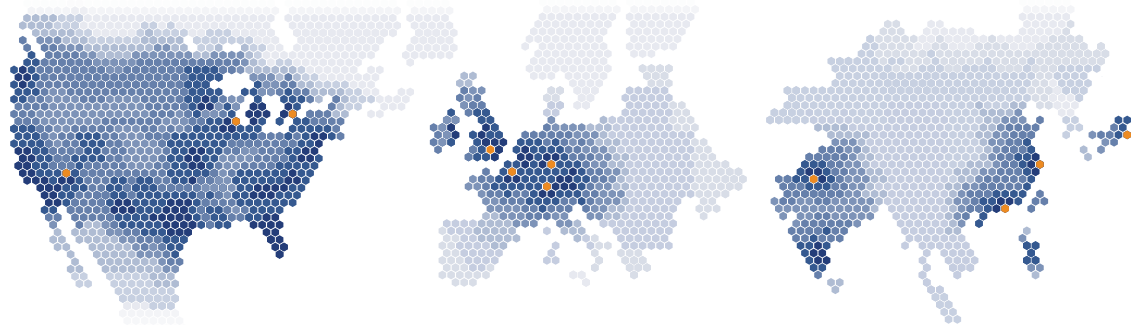
Innovating to excel beyond the status quo



One Global Practice

Global reach, local expertise

Global Reach, Local Expertise



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