

Targeted Expertise. Driving Results.

BSA/AML Look Back Investigation

To support a Private Bank operating under an MOU from the OCC, M² quickly deployed a team of investigators and a team lead. The M² team worked with the bank's Relationship Managers to perform a two-year look back on account activity as well as meeting Enhanced Due Diligence (EDD) and Know Your Customer (KYC) requirements on existing and new accounts that are considered to be high risk per BSA/AML policy.

Quality Control Review

To organize and expedite BSA/AML investigations work in a Commercial Bank, we provided project management, BSA/AML expertise and compliance officers, focusing on KYC and customer risk rankings. We also provided recommendations to improve policies, procedures and systems to support ongoing compliance operations in the bank's Trust Custody group.

Suspicious Activity Investigations

To meet BSA/AML, KYC and Patriot Act requirements, we reviewed wire transfer activity for high risk customers. We were responsible for validating the transactions, developing Suspicious Activity Reports (SARs) and revising the customer risk ranking as necessary based on investigations.

Customer Risk Ranking/Data Evaluation

We were responsible for evaluating customer risk ranking by reviewing activity and utilizing commercial databases, public records and other sources, enabling our client to meet BSA/AML requirements.

M² Consulting has more than 18 years of experience providing customized solutions to the banking and financial services industry.

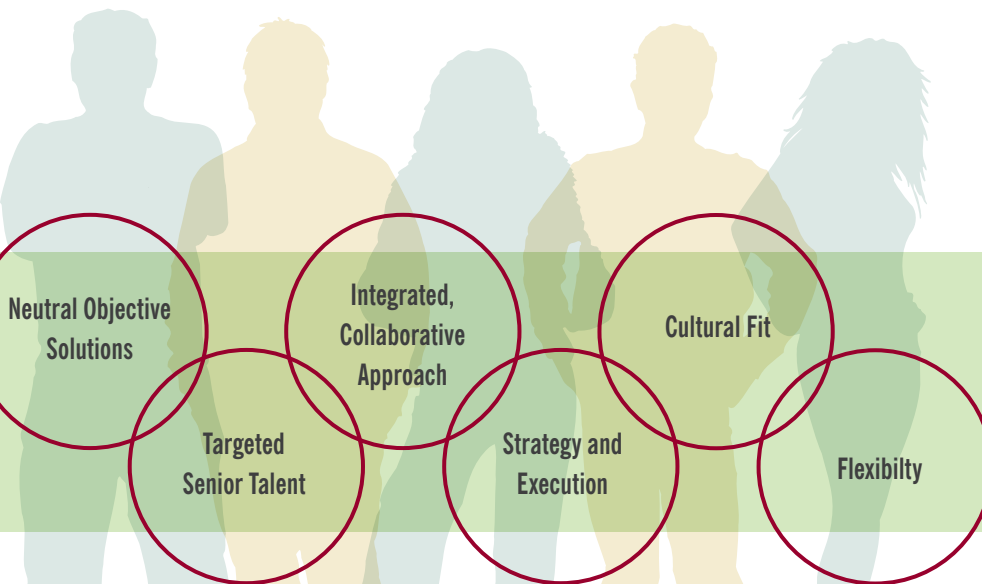
M² provides unique value:

- » neutral, objective solutions
- » targeted senior talent
- » cultural fit
- » execution focused
- » integrated collaborative approach
- » flexibility

M² Consulting, Inc.

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“When we needed a team of BSA/AML investigators for a regulatory project with a mandatory deadline for EDD/KYC, M² provided a team of seasoned BSA/AML professionals with prior remediation experience. The team was able to meet deliverables as well as assist our bankers in understanding the necessity of completing the KYC process. M² delivered top-notch consultants that knew what needed to get done and worked with management to deliver the results we needed.”

—SVP, Private Bank



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