



Alvarez & Marsal Financial Industry Advisory Services

Compliance Management System Assessments

Alvarez & Marsal's Financial Industry Advisory Services practice addresses the complex risks and regulatory needs of the financial services industry; our seasoned professionals bring years of deep regulatory, operational, and industry experience to help institutions solve emerging challenges. In particular, we help mitigate compliance, operational, strategic, regulatory, credit, and reputational risks.

REGULATORY RISK ADVISORY AND COMPLIANCE EXPERTISE

A&M professionals from regulatory bodies (OCC, CFPB, and FDIC, to name a few), industry executive positions, and top tier consulting firms provide practical and credible strategies to adapt to a challenging regulatory landscape with focus on compliance and managing risk.

COMPLIANCE MANAGEMENT SYSTEM ASSESSMENTS

A&M regularly performs full reviews of Compliance Management Systems (CMS) to assess compliance with regulatory requirements and expectations. This includes evaluating a CMS to ensure it:

- Establishes compliance responsibilities
- Communicates those responsibilities to employees
- Ensures the responsibilities for meeting legal requirements and internal policies are incorporated into business processes
- Reviews operations to ensure responsibilities are carried out and legal requirements are met
- Takes corrective action and updates tools, systems, and materials as necessary

Our CMS Assessments evaluate:

- Board of Directors and management oversight
- Policies and procedures
- Training
- Monitoring and corrective action
- Consumer compliant response, resolution and root cause analysis, and enterprise wide action as required
- The three lines of defense risk assessment and control organization and process
- Compliance risk assessment and audit including where it fits into the Enterprise Risk Management process

WE SERVE:

- Alternative Investment Managers
- Banks (incl. Investment Banks)
- Broker/Dealers
- Exchanges
- Finance Companies
- Industrial Loan Companies
- Institutional Managers
- Law Firms
- Leasing Companies
- Mortgage Banking
- Mutual Fund Managers
- Non Traditional Lenders
- Private Banking and Wealth Management
- Private Equity
- Thrifts
- Trading Support

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