



Deloitte Discovery

Providing value to financial services companies

Deloitte Discovery has been providing discovery services to corporate legal departments at financial institutions for more than 20 years. Our primary objective is to help support the legal function and its related constituencies address the complexities associated with eDiscovery and information governance, through the delivery of an integrated set of eDiscovery services. These include:

- The strategic design, implementation, and operation of eDiscovery programs, addressing people, process and technology;
- The preservation, collection, processing, hosting, and production of data subject to discovery;
- Document review solutions; and
- The application of predictive and advanced analytics at all stages to help improve efficiency, reduce cost, and increase quality and defensibility.

Financial Services Industry Qualifications

Deloitte and its affiliates are recognized leaders in providing audit, tax, consulting,

and financial advisory services to the financial services industry.

Our clients include banks, insurance companies, securities firms, private equity firms, hedge funds, mutual funds, and real estate companies in the United States and around the world. Our Financial Services Industry (FSI) practice brings together multidisciplinary capabilities and teams of client service professionals with diverse experience and knowledge in order to provide customized solutions for our clients. We help our clients to solve complex business problems, and are distinguished by our broad capabilities and our ability to assist clients with implementing the advice we provide.

We currently serve a number of financial services industry clients as a preferred eDiscovery provider and can assist in responding to urgent needs they may face in response to requests arising from litigation and investigations.

The Deloitte U.S. Firms' FSI practice includes 1,519 partners, principals, and directors; encompasses a network of more than 9,420 professionals; and serves 87 percent of financial service companies listed on the Fortune Global 500.

Our global FSI group operates in more than 40 countries and includes 4,400 partners and 31,500 professionals across the member firms of Deloitte Touche Tohmatsu Limited (DTTL). DTTL's global FSI practice actively brings cross-industry insights and relevant competencies to our clients.

Discovery Experience in Financial Services

Computer forensic and eDiscovery investigation

Deloitte¹ was engaged by external counsel of an international company to investigate allegations of potential violations of the Office of Foreign Assets Control regulation.

Large scale computer forensic and electronic discovery

We¹ were engaged by General Counsel of an insurance company to assist in the collection, aggregation and document review of third-party payee information as part of their global anti-corruption compliance efforts.

¹ Deloitte Financial Advisory Services LLP

Global Network

Deloitte Discovery has assembled an experienced eDiscovery team, with dedicated project management resources around the world, supported by a global network of more than 800 discovery professionals through the Deloitte Touche Tohmatsu Limited (DTTL) member firms — combining subject matter specialists in discovery processes, information systems and financial services with a seasoned document review team. Our professionals are experienced in large-scale, cross-border discovery engagements and assisting clients in complex litigation matters.

Our global network of professionals is experienced in working within the complex and restrictive data privacy and data protection constraints present around the world, and we are capable of delivering configurable solutions either at the client site or within Deloitte's forensic technology centers around the world.

Large scale computer forensic investigation and electronic discovery

Our client, a large multi-national corporation with operations on three continents, engaged us¹ to conduct multiple fraud investigations of various subsidiaries over the past year. The investigation involved imaging and analyzing approximately one hundred computers, including many from South America. To date, several individuals are under indictment or have been convicted in various jurisdictions. We converted e-mails and documents from the hard drive images and restored

backup tapes from Spanish to English and assisted the company in providing electronic discovery to the U.S. Justice Department on one aspect of the investigation.

Large scale computer forensic investigation and electronic discovery

In conjunction with a Securities and Exchange Commission (SEC) securities litigation matter, our client, a large multinational corporation with operations on five continents, engaged us¹ to conduct multiple fraud investigations of various subsidiaries over the past year. The investigation involved imaging and analyzing over one-hundred computers, including computers from numerous cities in the United States, Europe, Hong Kong, Singapore, Australia, and South America. To date, numerous corporate officers of various subsidiaries and the parent corporation have been terminated. We also assisted the company with producing over three hundred CDs or DVDs of e-mails and documents to the SEC.

Computer forensic support of internal investigations for financial services company

Our client, a large multinational financial services company, engaged us² to perform approximately twenty computer forensic investigations involving approximately sixty computers. We worked hand-in-hand with their internal special investigative unit to provide efficient high technology crime investigative capabilities. One theft of intellectual property investigation resulted in the U.S. Attorney accepting the matter after a two-week investigation and the FBI executing a search warrant at the homes of two employees. We were provided with copies of the seized computers by the FBI

² Deloitte Financial Advisory Services LLP

to continue the internal investigation of the theft of intellectual property.

Broker-dealer international fraud

We² were requested to investigate a prominent broker-dealer's suspicions that a customer's primary account was being used as the vehicle for a multimillion dollar fraud scheme. By tracing inflows and outflows from the account, we identified a number of individuals who served as middlemen in the scheme. These individuals claimed not to know each other and professed independent relationships with the account holder. However, we determined through business intelligence a number of connections between the individuals and between the individuals and the account holder, including the use of the same company to incorporate various shell companies used to defraud investors. Our research also revealed that the primary account holder was a career criminal who had served multiple prison terms for various fraud-related offenses.

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