



Conduct Risk Management & Employee Investigations Services

WHAT IS THE NEED?

In today's environment, it is imperative for organizations to proactively assess their Conduct Risk Management and Employee Investigations Programs against applicable regulatory requirements, industry best practices, and organizational business needs to ensure the programs are compliant and effectively protect the organization's brand and reputation. Many organizations find it challenging to conduct these program assessments objectively without the assistance of a risk advisor that can provide an independent viewpoint, a required level of expertise, supplemental resources, and breadth of industry knowledge.

WHY REZOLVRIZK?

At **Rezolvrizk**, we can serve the role of a trusted risk advisor and provide you with the resources, expertise, and professional collaboration necessary to assess your business needs and existing programs, identify any potential gaps, propose solutions, and assist in the development, implementation, and documentation of those solutions. We offer a broad range of products and advisory services delivered in a highly collaborative manner, supplementing your team with highly skilled and experienced professional resources that can accelerate the development and advancement of your risk programs. We view ourselves as an extension of your team.

Rezolvrizk just celebrated its 8-year anniversary as a boutique risk management firm specializing in assisting organizations in "rezolving" their conduct risk management, employee investigations, and physical security risk needs.

Our mission and purpose:

~ to utilize our expertise gained from real world experiences, applications, and solutions to assist in the success of those who have a risk challenge or a program deficiency, but lack either the time, internal resources, or the expertise to properly address and resolve ~



The expertise of our firm has been gained through 25+ years of front line, high-volume, real-world experiences.

Our firm is led by our Managing Partner, **Michael J. Bacon**, a 26+ year security, employee investigations, audit, and HR leader. As the former Wells Fargo Chief Security Officer and Head of Corporate Investigations, whose strong leadership and commitment to high ethical standards has been referenced in public documents regarding the Wells Fargo sales integrity scandal, we clearly have the real-world experience to provide exceptional value to your organization and its efforts to address conduct risk challenges. Michael maintains certifications as a Certified Protection Professional, Certified Information Systems Security Professional, Senior Professional in Human Resources and, Society for Human Resources Management – Senior Certified Professional.

Our firm's Senior Partner, **Loretta Sperle**, a former Wells Fargo Senior Vice President and Head of Internal Investigations, leads our **Conduct Risk Management and Employee Investigations Practices**. She has 30+ years of high-quality corporate leadership experience in investigations, conduct risk management, fraud risk management, and internal audit. She is also a Certified Fraud Examiner, Certified Information Systems Security Professional, and Certified Public Accountant.

Our partners both experienced first-hand the Wells Fargo sales integrity scandal and the downfall of an organization due to ineffective conduct risk management practices and poor leadership. Wells Fargo quickly progressed from being the best banking brand in the world in 2014, to a brand synonymous with scandal in 2016 that has not yet recovered its position in the industry. **Rezolvrizk** is committed to bringing the awareness of the root causes of the Wells Fargo issues to other organizations with the goal of preventing similar outcomes in those organizations.

CAN WE ADD VALUE?

Every organization has unique business needs and are at varying levels of maturity in their conduct risk management and employee investigations programs. At **Rezolvrizk** we will collaborate to assess needs and find a customized solution that is both efficient and effective. Our goal is to contribute to the success of the organization and senior leadership in managing these critical risks.

If you find at some point you could use our expertise and additional professional resources, we are happy to have a conversation with you about how we can partner to resolve your business needs.

~ Let's connect and discuss your business needs ~



CONDUCT RISK MANAGEMENT AND EMPLOYEE INVESTIGATIONS SERVICES

Conduct Risk Management Program Assessment & Development

- *Conduct Risk Management Program current state / business needs assessment*
- *New or enhanced program/framework development*
- *New or enhanced policies, processes, and procedures*
- *Ethics Hotline program assessment and development*
- *End-to-End Allegations Management processes*
- *Employee Misconduct risk assessments and monitoring programs*
- *Staff presentations and training*

Employee Investigations Program Assessment & Development

- *Employee Investigations Program current state / business needs assessment*
- *New or enhanced program development*
- *New or enhanced policies, processes, and procedures*
- *Audit / regulatory issue remediation*
- *Investigation & Case Management Best Practices*
- *Suspicious Activity Reporting Compliance programs (if applicable)*
- *Staff presentations and training*

Thank you for your interest!

Please do not hesitate to reach out.

Michael J. Bacon

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