

# Catelas Compliance ... AUDITS & INVESTIGATIONS

Catelas® has transformed the way compliance is undertaken for companies concerned about unethical business operations. By providing **360° assessments**, Catelas is able to uncover key relationships with partners, 3<sup>rd</sup> parties and individuals, especially those operating in high risk countries - all remotely, without getting on a plane and without disrupting the business.

The key to any compliance program is to identify potentially suspicious or unethical behavior hopefully before infractions occur. However, on-site investigations and audits are often cost-prohibitive and not practical so Catelas has developed a fast, effective and non-disruptive way to audit and report on such relationships – remotely!



## Current FCPA Compliance challenges

1. The current compliance tools are largely focused on the financials such as **expense claim infractions**.
2. On site audits, are often blind, relying on org charts and interviews, to piece together a rudimentary understanding of how the office does business.
3. The current investigation process is **manual, disruptive** and **expensive** and results are often **inconclusive**.

## Catelas Audits & Investigations

### ✓ 100% company-wide view - **comprehensive**

Uncover and visually display every relationship with external entities, mapping all business relationships - 'who knows who' and 'why'.

### ✓ Rapid response - '**always-on**'

Conduct due diligence risk assessments & ongoing audits within a day, non-invasively and without disrupting business operations.

### ✓ Compliance & Investigations - **peace of mind**

Provide a comprehensive approach to compliance & investigations that is fast, effective and non-disruptive.

## What is Relationship Forensics?

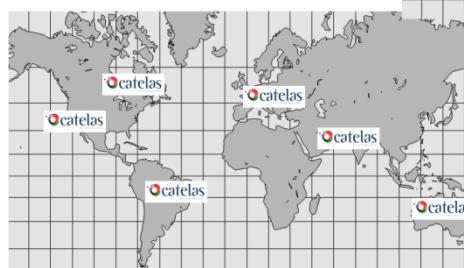
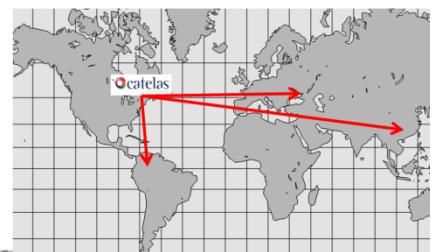
Catelas leverages social network analysis and behavioral science algorithms to analyze email server log files, allowing the entire relationship network of the company to be uncovered.

By automatically uncovering the relationships that exist with partners and 3<sup>rd</sup> party entities and grading those relationships, Catelas quickly uncovers potential suspicious or unethical behavior and relationships.

Used as an auditing and early 'red flag' alerting system for fast and effective internal controls, Catelas is 'always-on' and delivers automated reports for compliance peace of mind.

### Scheduled & Ad-hoc Audits

- 360 degree assessments
- Report on key relationships in high-risk countries
- Uncover high-risk partners, 3<sup>rd</sup> parties or individuals
- Fast, effective, non-disruptive



### Detailed Investigations

- Deployed on laptop or remotely accessed server
- Early Case Intelligence to assess scope & importance of investigation
- Key word analysis and network maps
- Create case report for executive review

## Catelas Use Case

# FCPA Audit & investigation

Our client is a Fortune 500 company and their compliance team had seen a doubling of internal investigations which were costly, required extensive international travel and were often inconclusive. The team was looking to handle these investigations more effectively and also try to reduce the number of investigations by being more proactive.

*Using Catelas the team was able to identify the key people connected to a particular investigation (from HQ) before the collection of data or interviews began. In addition, the Catelas Relationship Dashboard enabled the team to become far more proactive by looking for anomalous or suspicious behavior and detecting inappropriate relationships.*

## Catelas impact on FCPA Compliance

- **100% Company-wide view:** uncover and visually display key relationships between your business and external parties and state owned institutions.
  - **Investigation Preparation:** prepare who to interview, the key questions to ask and what data to collect.
  - **Minimal Disruption:** collect precise data of only what is relevant; avoid disturbance of business operations.
  - **Time & Cost:** conduct compliance due diligence, audits & investigations at a fraction of the time and cost.

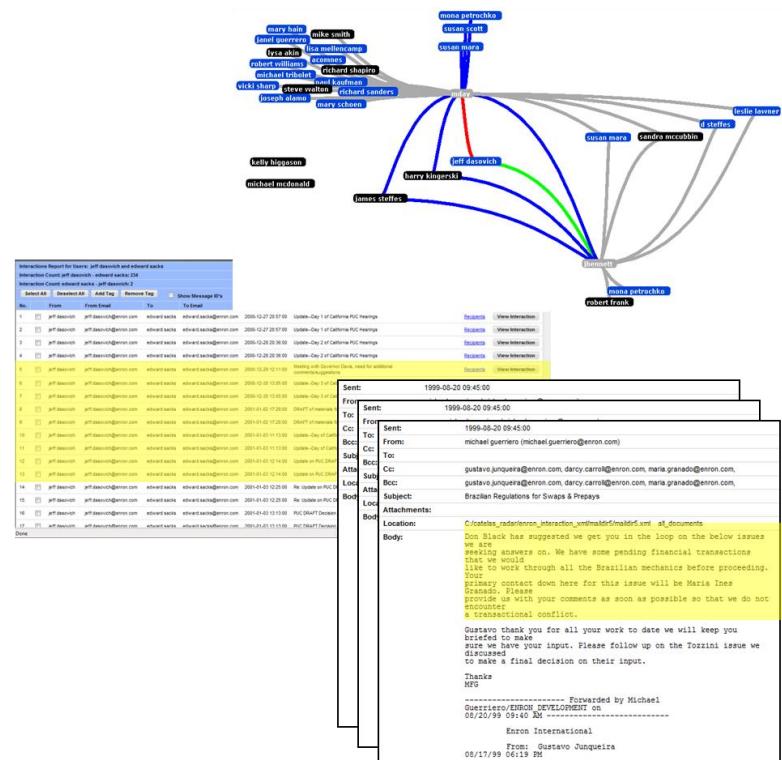
# Catelas Deployment

- ✓ Scalable to companies over 100,000 employees
  - ✓ **Deployed within days / minimal IT involvement**

## Import all data types

 Catelas can process all data types including:

- Email log files from Microsoft Exchange, Lotus Notes, Sendmail to map the whole company.
  - Native email in the form or .pst or .nsf files for investigations on the ground.
  - Exports from 3<sup>rd</sup> party analytics or review tools using XML, EDRM XML or proprietary file types.
  - Telephony systems logging calls, IM, or other forms of unified communications.



For further information, please contact Catelas at:

Catelas | 36 Washington St | Suite 320 | Wellesley, MA 02481  
Phone: 617 795 7339 | Email: [info@catelas.com](mailto:info@catelas.com) | Web: [www.catelas.com](http://www.catelas.com)