

Incorporating Data Analytics Into Your Compliance Program

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Moderated by: Frank Fiorille, Sr. Director of Risk Management, **Paychex**



Brendan Kehoe
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Pearson

A little bit about Pearson

- A U.K.-based global education company with approximately 40,000 employees operating in over 70 countries worldwide
- Annual revenues of over \$7 billion making it the world's largest publishing company and the world's leading learning company
- Significant presence in China as well as the U.S. and U.K.



There are more than

40,000 people

who work for Pearson



around
the world

China is our
2nd
largest
employee base



Pearson and Compliance Analytics

Compliance issues

- We have government contracts around the world
- We believe strongly in our responsibility to engage government customers and third parties in an ethically-responsible manner

Data analytics and visualization helps us

- Prepare reports in compliance with government contracts and lobbying
- Spot trends in gift, hospitality, sponsorship, and charitable donation expenses or payments
- Analyze data regarding third parties

Kieran Crean
Internal Audit Director
Gensler

Gensler

Gensler

42

of the 50 top-ranked Fortune 500 companies

9

of the top 10 technology companies in the US

20

of Interbrand's 23 Best Global Brands

8

of Fortune magazine's 10 best companies to work for in the world



NVIDIA



Incheon International Airport



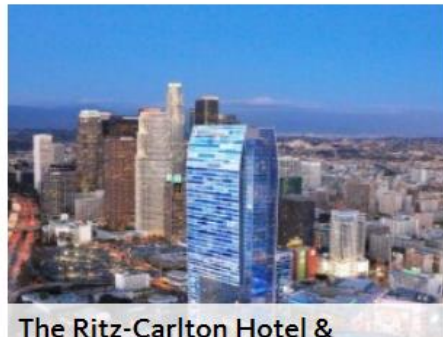
The Avenues - Phase III



IZU Velodrome



Westin Denver International Airport



The Ritz-Carlton Hotel & Residences and JW Marriott at L.A. LIVE



Fourth Presbyterian Church of Chicago, Gratz Center



El Encanto

Gensler and Compliance Analytics

In addition to comments by Pearson

- We have thousands of client projects

Data analytics and visualization helps us

- Run data profiling on expense data
- Design repeatable key word searches
- Powerful review of global spend using one tool and multiple data sources
- Share data visualizations with executives

Wells Fargo and Data Analytics

Jonathan Rusch
SVP, Head of Anti-Bribery & Corruption Governance
Wells Fargo

The Wells Fargo logo consists of a red square with the words "WELLS" and "FARGO" stacked vertically in a yellow, serif, all-caps font.

**WELLS
FARGO**

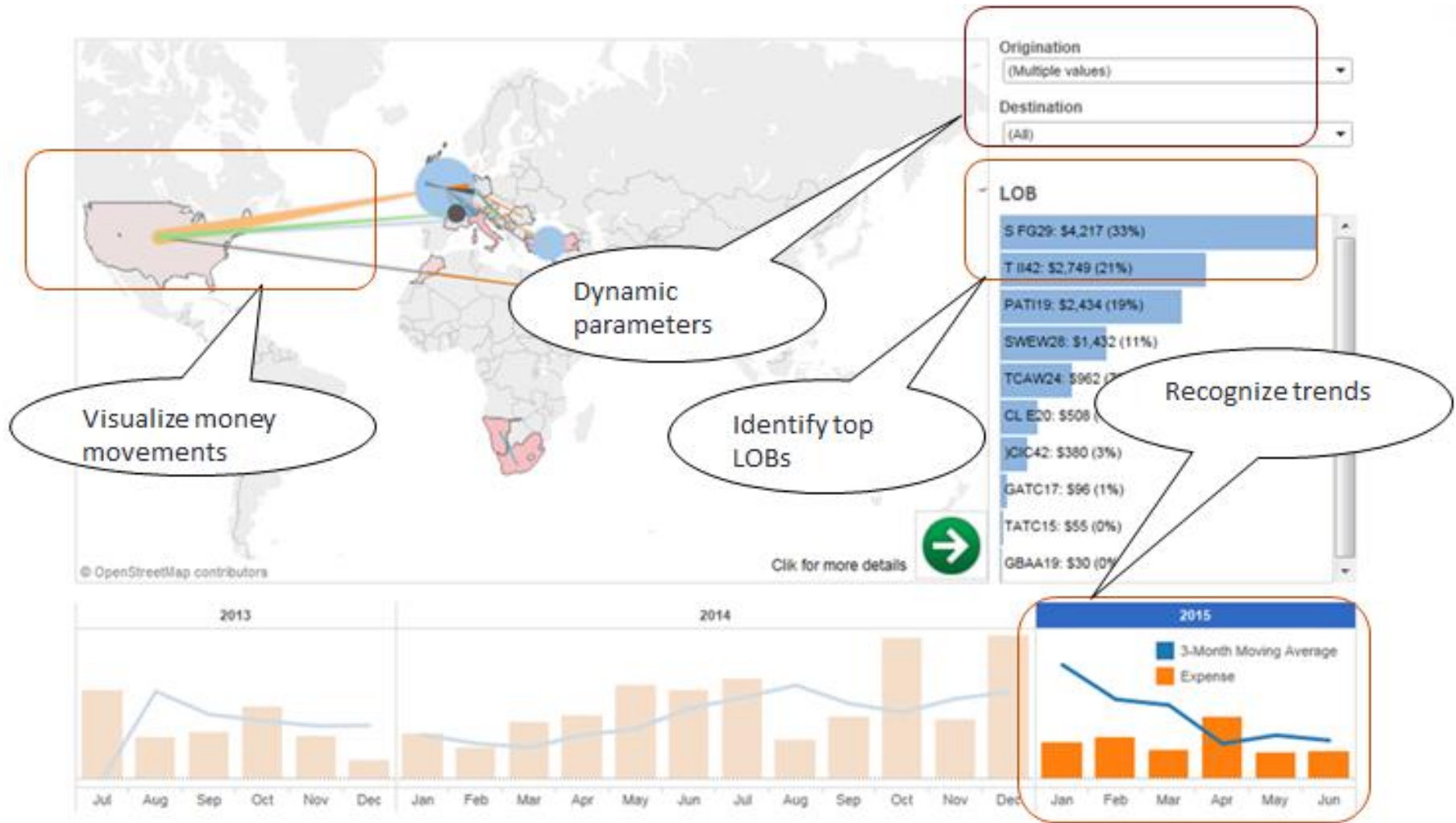
Anomaly Detection

- With a few clicks of a button, a compliance professional could drill down from a high level representation of millions of transactions to specific events that pose an elevated risk of corruption
 - Visualize money movements between originations and destinations
 - Recognize trends and identify abnormal historical patterns
 - Ability to focus on specific time periods
 - Ability to spot the potential hotspots by comparing against relative bench marks

Trending Patterns

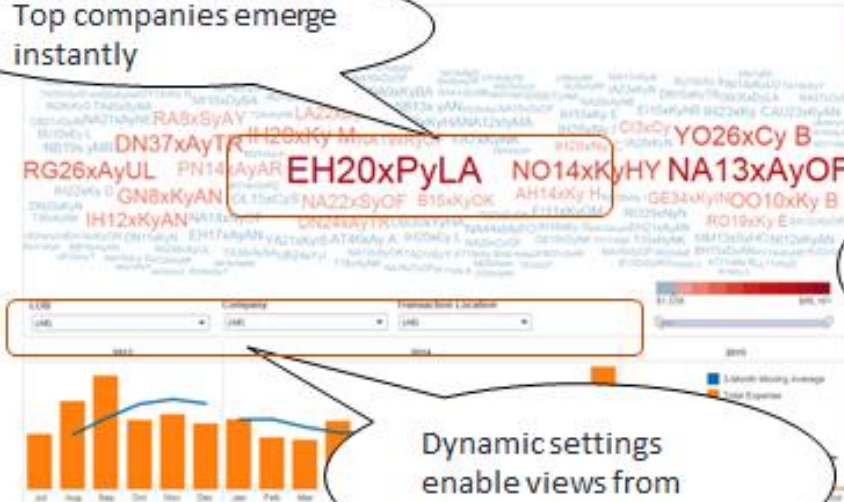
- Aggregating data dynamically across key groupings so one may easily detect key patterns and then seamlessly drill down to the details.
 - Centralized data sourced from a variety of SOR's (systems of record), which are logically organized to identify corruption.
 - Ability to provide easy access across a large institution while maintaining strict access control on a need to know basis.
 - Having clear visual “big picture” with the ability to drill down to a granular level -- enables an institution to be more effective as 1st and 2nd line of defenses.

Wells Fargo Use of Visual Analytics



Wells Fargo Use of Visual Analytics

Top companies emerge instantly



Dynamic settings enable views from different angles

Ability to drill down to details



Interchangeable parameters and supporting views to help understand the business context

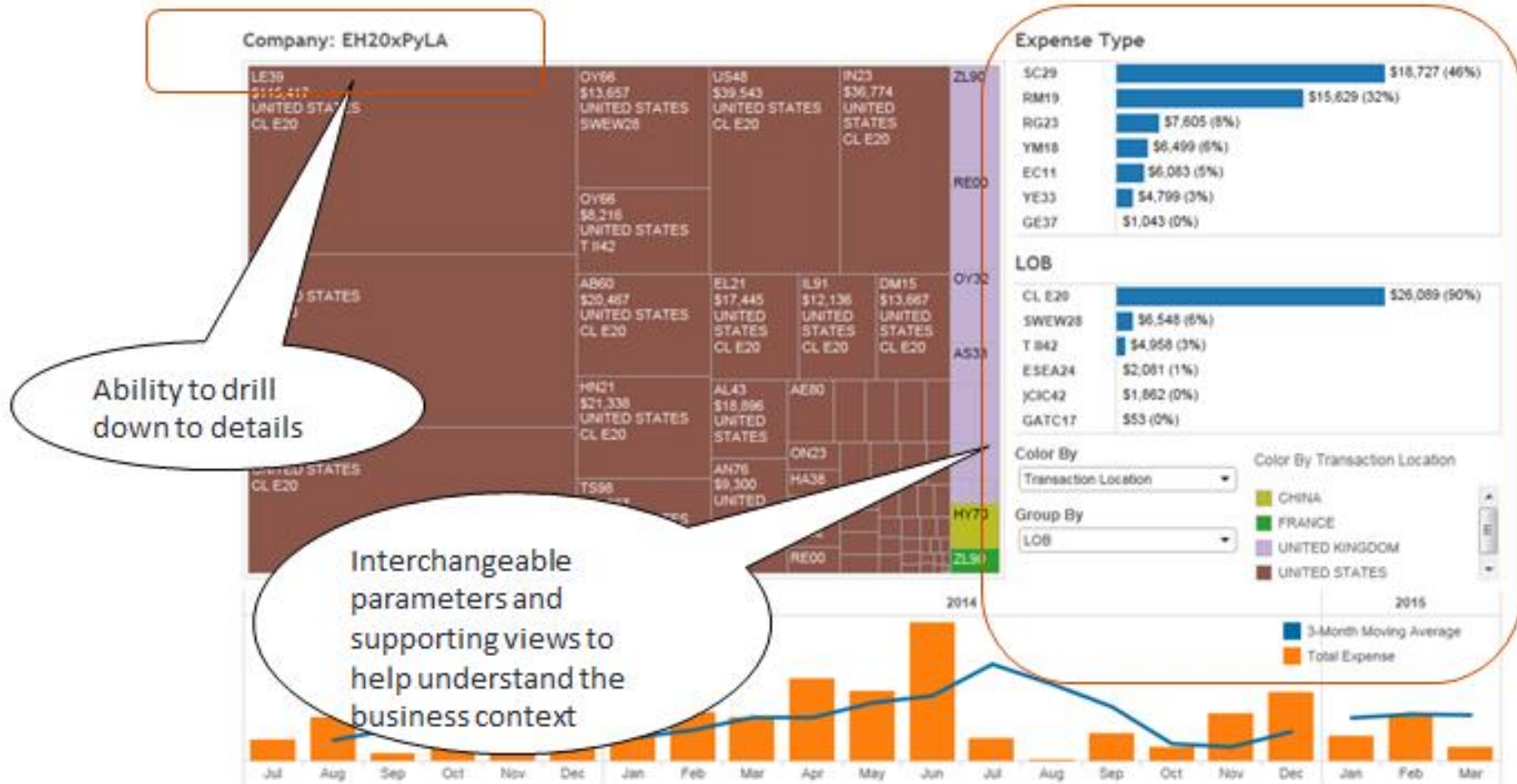
Wells Fargo Use of Visual Analytics

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Wells Fargo Use of Visual Analytics



Ability to drill down to details

Interchangeable parameters and supporting views to help understand the business context

Panel discussion

Question:

When it comes to compliance data analysis and visualization, what are the goals of your company and your group?

Panel discussion

Question:

How did each of you set your data targets? What steps were necessary to create, build, or identify the correct data to analyze?

Panel discussion

Question:

What challenges did you experience connecting to the data?
For example, were you combining data from different systems,
different geographies, different purposes?

Panel discussion

Question:

How have you managed to scan the data and find anomalies?
What are some success stories?

Panel discussion

Question:

Now that you have the data and are analyzing it, what are some of the other purposes you find for it?

Audience Q&A

Thank you

We want your feedback! Use the conference app or visit the Registration desk.

Be sure to join the Twitter conversation: @CW_2016