



legaligance

PEOPLE RISK MANAGEMENT

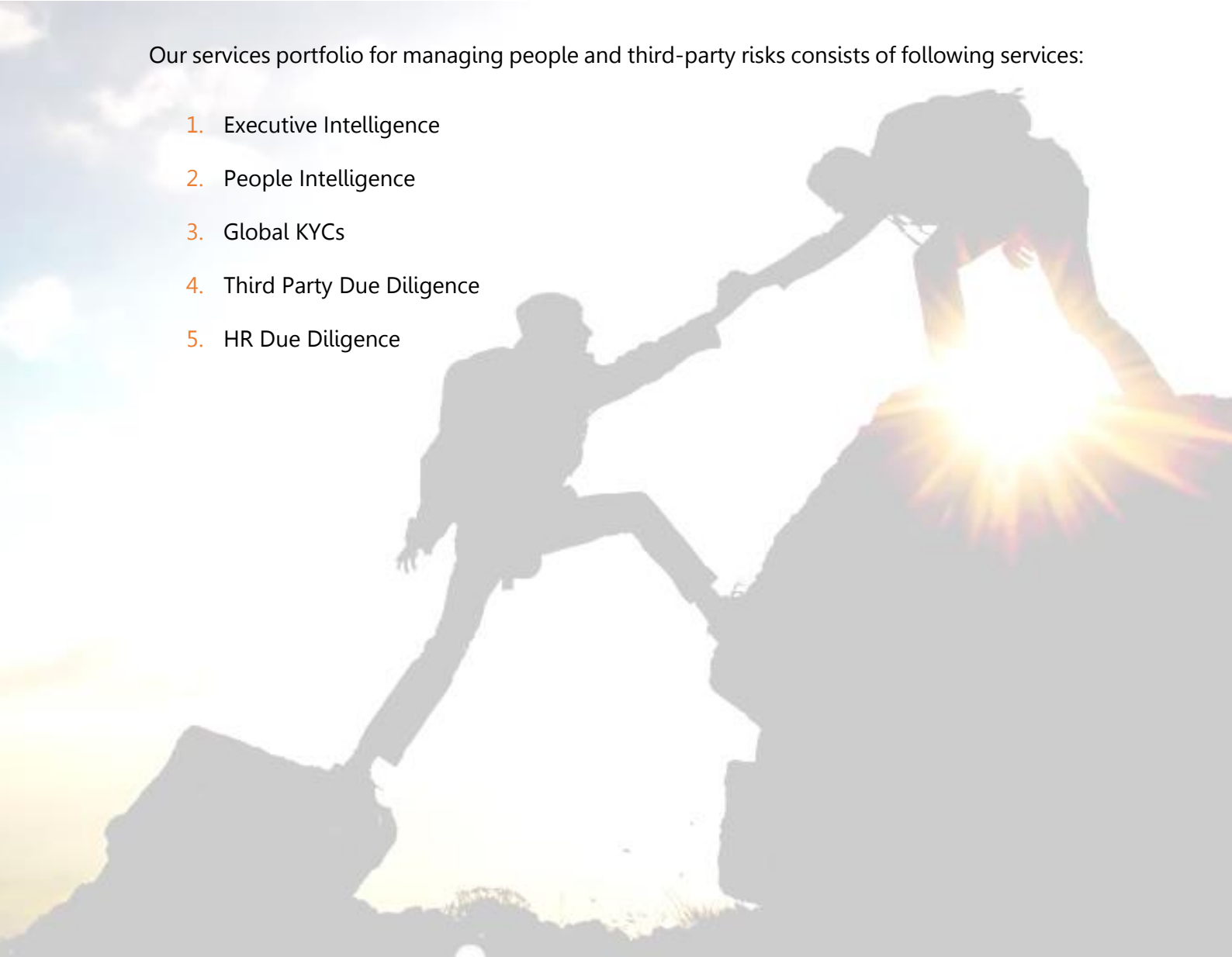


LEGALIGENCE STRATEGIC CONSULTING LLP™

People and Strategic partners are extremely key to any organization to make the business successful. However, it is also important to evaluate and find out their reputations in the market to ensure that the organization does not face any issues including financial and reputational damages.

Our services portfolio for managing people and third-party risks consists of following services:

1. Executive Intelligence
2. People Intelligence
3. Global KYCs
4. Third Party Due Diligence
5. HR Due Diligence



1. EXECUTIVE INTELLIGENCE

To fulfil great vision, you need great people. As you develop your business plan and strategy, a “management team” needs to be pulled together, with serious thought given to the key positions that need to be filled and who should fill them. This team represents the organization in all the forums. Hence their individual reputations are key to the organization’s reputation.

Our Executive Intelligence results in:

- Helping you hire the right high-profile candidates
- Reducing risk in your potential high-profile hires
- Protecting your brand and reputation

Legaligance Executive Intelligence is predominantly a reputational due diligence going into character and prior actions of the senior management members or the members of the board. We get into the real story behind the story to help ensure that information provided to you is factual.

We comb through the information we gather to identify misrepresentations, misstatements, nondisclosures of material information, patterns of unethical behavior, and other indicators that could pose risks to our clients. Our process goes deep into Criminal record checks, Social media screening, Credit checks (for e.g., for Financial Director Role), Education and credential verifications, Professional reference checks, right to work checks etc.

2. PROPLE INTELLIGENCE

The reasons people disappear are the most diverse. When you need to locate a missing person or a hiding person for any legitimate reason, with the help of Legaligence, there are clear actions that you can take to increase the chances of that person being found quickly and safely. In fact, Legaligence can start a search even with very little information at hand. In some cases, Legaligence may locate missing persons or hiding persons, coordinating the research with local police authorities where it is necessary to serve an arrest warrant or other specific legal documents.

We offer high-quality intelligence gathered from our network of human sources around the world. Source inquiries can be useful for developing context for information surfaced in the public record, obtaining intelligence on people, properties and assets. By piecing together public information, evidence and intelligence to identify assets, people, map networks, and spot new lines of investigation across various jurisdictions, we expose the links, associations and activities and also undercover facts of past and present.

We tailor the scope of background information gathering / due diligence to the specific needs and risk profiles of each client, modifying the scope of our work to reflect the level of risk inherent in each project—which often includes a window into regulatory and litigation considerations.

3. GLOBAL KYCs

We help commercial organizations meet the challenge of complying with financial crime prevention rules.

Know Your Customer (KYC) mandates that companies who are active within the financial services sector, must carry out due diligence on their clients to verify their identity and prevent identity theft, fraud, money laundering and terrorist financing.

Companies are expected to screen new clients according to a range of criteria and in accordance with regulations and sanction lists. Furthermore, once the check is done, the results have to be periodically reviewed in accordance with new lists and regulations. This often results in increasing internal KYC departmental costs while non-compliance can lead to significant financial and reputational risks. In some countries, non-compliance can even result in imprisonment, ranging from 5 to 20 years, depending on the nature of the offence.

Our areas of specialty include sanctions and anti-money laundering compliance — encompassing enhanced know your customer (KYC) due diligence, periodic reviews, account remediation, historical transaction reviews, AML and sanctions risk assessment, independent monitoring, and AML —along with fraud and antibribery/anticorruption compliance. We also conduct DD for global / foreign partners to understand necessary elements such as need for the relationship with a foreign business partner, credentials, ownership structure, financial qualifications, people and reputation

We carry out similar due diligence to existing or potential Strategic Business Partners as well.

Every business partner is a potential source of risk from a financial as well as from a reputational point of view. Legaligance carries out comprehensive due diligence of Solvency, financial reporting conduct, Integrity, other business associates and networks, Financial profile and credit history.

4. THIRD PARTY DUE DILIGENCE

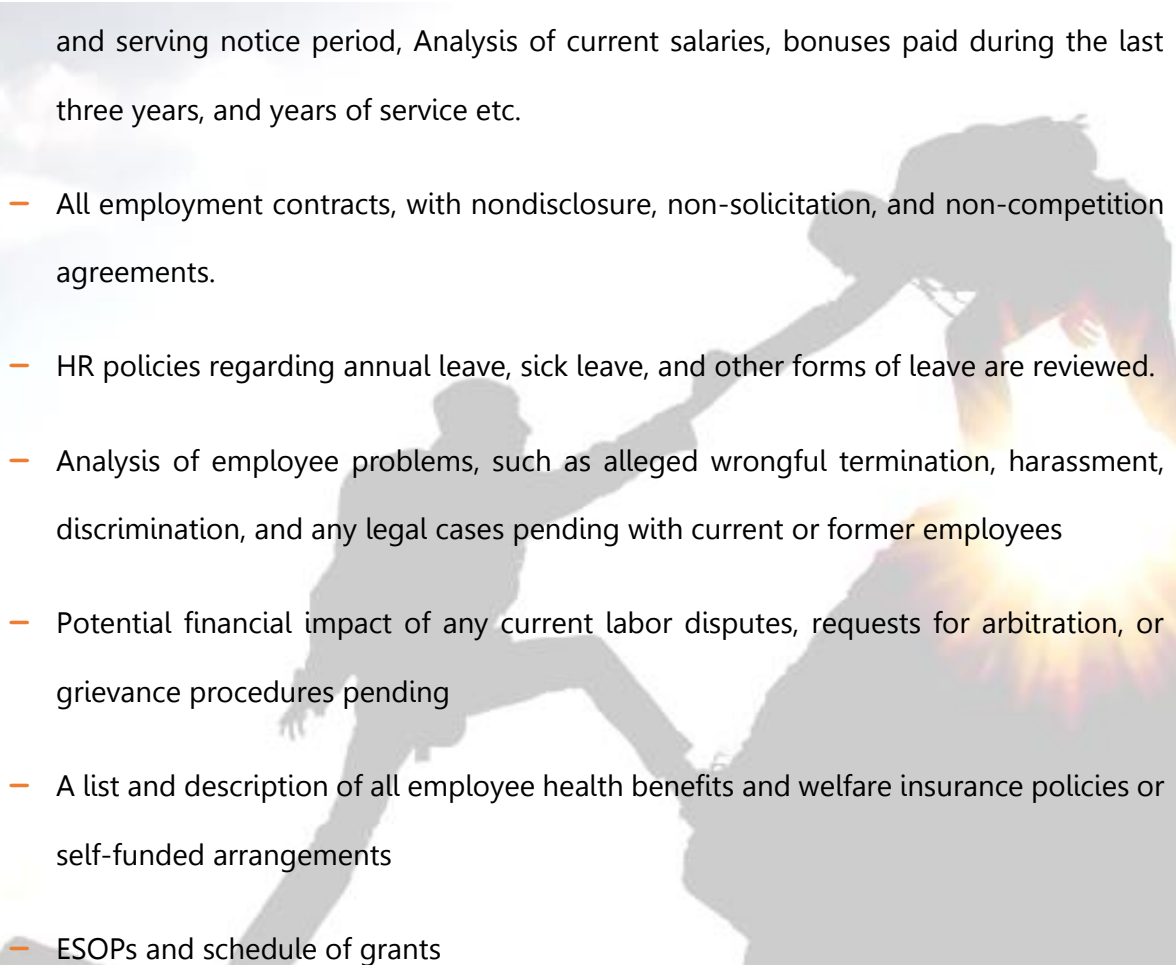
Every modern business relies on many others, either as part of the supply or distribution chain, or for value-added services. Faced with complex, global third-party networks, it's more critical than ever for any company to have an effective strategy for evaluating and monitoring third-party risk. Legaligance due diligence will ensure you have the insights needed to avoid financial and reputational harm due to third-party relationships.

Another angle to Third party due diligence is that by employing a third party adds risk, especially if that company is given some level of access to network and computing resources, or is asked to handle and protect critical or proprietary information. Intruders may not need to breach a well-protected internal server if the same information is not protected to the degree deemed necessary by a third party. If a third party is given some level of trusted access to internal networks, it might be easier for an intruder to simply compromise the third party and then use their access to "legitimately" break into a network containing the target data they want to steal.

Legaligance carries out information gathering about the third parties including Joint venture partners, Consortium partners, Agents, Advisers and other intermediaries (e.g., legal, tax, financial adviser or consultant, lobbyist), Contractors and sub-contractors, Suppliers / vendors, Service providers, Distributors, Customers etc. for possible legal or regulatory breaches as well as to ensure that they are operating at the same standards as the company itself.

5. HR DUE DILIGENCE

Legaligence Human resources due diligence is extensive. It includes following:

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- A background image showing the silhouettes of several people climbing a mountain peak. They are reaching up and supporting each other, with a bright sun or light source behind them, creating a lens flare effect. The sky is light and hazy.
- Analysis of total employees, including current positions, vacancies, due for retirement, and serving notice period, Analysis of current salaries, bonuses paid during the last three years, and years of service etc.
 - All employment contracts, with nondisclosure, non-solicitation, and non-competition agreements.
 - HR policies regarding annual leave, sick leave, and other forms of leave are reviewed.
 - Analysis of employee problems, such as alleged wrongful termination, harassment, discrimination, and any legal cases pending with current or former employees
 - Potential financial impact of any current labor disputes, requests for arbitration, or grievance procedures pending
 - A list and description of all employee health benefits and welfare insurance policies or self-funded arrangements
 - ESOPs and schedule of grants

Legaligence also conducts investigations in case of cases involving absconding employees, misrepresentations, discrimination, violations of rights and sexual misconduct.