



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 and contractual 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 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 is a 6½ year boutique risk management firm specializing in assisting organizations in “resolving” their conduct 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 the firm has been gained through 25+ years of front line, high volume, high profile, real world corporate crises and experiences.

Our firm is led by our Managing Partner, **Michael J. Bacon**, a 29+ 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 risk challenges. Michael is also certified as a Senior Professional in Human Resources and as a Society for Human Resources Management - Senior Certified Professional.

In 2020, in response to increasing client needs and the continued pressure being placed on organizations to strengthen their conduct risk management programs, **Loretta Sperle**, former Wells Fargo Senior Vice President and Head of Internal Investigations, joined **Rezolvrizk** as a Senior Partner to lead **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 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 devastating impact to the company, its customers, and its employees – and ultimately to its brand and reputation. Now they are committed to helping other organizations to avoid that same outcome.

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 with you to assess your business and risk needs and find a customized solution that is both efficient and effective. Our goal is to contribute to the success of the organization in managing these critical risks, and to your success as a leader.

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 challenges.

~ 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

Managing Partner, CPP, CISSP, SPHR, SHRM-SCP
mjb@rezolvrizk.com | (925) 822-2496

Loretta Sperle

Senior Partner, CFE, CPA, CISSP
loretta@rezolvrizk.com | (952) 693-3428