



4N6 FACTORY

The 4N6 Factory supports clients in their compliance challenge. As a partner in crime we conduct independent investigations, set up professional compliance management programs or help building up a culture of integrity with innovative interactive training and awareness tools - with the aim to embed ethics in the corporate DNA.



Investigations



Compliance Management



Corporate Integrity



Compliance Coach

Investigations - independent, focused, legal and structured



Independent Fraud Investigations: Initial fraud case assessment, fact finding, background searches, safeguarding of evidence, forensic analysing, reporting, recommendations for improving internal controls and compliance framework

Asset tracing, freezing and recovery: by using the advantage of legal means of different jurisdictions

Surprise Audits: Assisting corporate (internal) audit teams on fraud audits (strategic coaching, fraud audit programs, interviews, reporting, background search)

Fraud Response Plan: review and set up of corporate fraud response process, employee training

Network Partner Services: Forensic IT, Legal & Litigation Support, Forgery Experts, Profiler

Compliance Management - implementing the right elements tailored to the company



Implementation of Corporate Compliance Programs: Review of governance & compliance structure, review of corporate guidelines (eg. code of conduct, whistleblowing policy, anti-fraud policy, dealing with business partners etc.), fraud & corruption risk assessment; employee trainings (compliance topics, schemes, risks, laws and regulations, sanctions etc.), review & implementation of the whistleblowing process, fraud response process review and implementation, As-Is-gap-analysis (red flags, control weaknesses, mitigating actions).

Network Partner Services: eDiscovery, eReadiness, TRX Monitoring, FTech, Whistleblowing Hotlines

Corporate Integrity - improving corporate culture



Improvement of corporate culture and integrity: Integrity Survey, with measurement of corporate culture («Tone at the top», «Tone at the middle...»); employee survey tool, interactive integrity workshops and dilemma games; integrity break-out sessions and FraudXplore, a «find the fraudster game».

Network Partner: Survey Platform Provider, Research Institutes, Experienced and Local Trainers

Compliance Coach - supporting corporate compliance function



The Compliance Coach is a **service to support companies in its compliance challenges and to assess corporates' compliance and integrity program.** Together, we discuss and define your compliance agenda and commit to a planning with clear milestones and specific deliverables.

This allows for leverage of knowledge and hands-on implementation experience, time to reflect on your compliance agenda, provides continuity and flexibility in support.



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Overview of recent projects

Investigation – Financial Sector

Investigations 

Support in transaction analysis and background screening of external asset managers of a private bank. Our report was used by its lawyers as a basis for the bank's defence / response to information requests of the financial market supervisory authority and the local prosecutor. For this project we also worked with a Forensic Lab, analysing the integrity / authenticity of signatures in payment orders and contracts.

Export controls - Industry

Investigations 

A long-time client called for our support in the reconstruction of certain deliveries into and payments out of Iran, to prepare a defence letter to the Swiss and UK authorities.

Fraud response - Large Swiss Retailer

Investigations 

Fraud response plan & process reviews

Corruption Risk Assessment – various companies

Compliance Management 

For listed multinationals in the travel and clothing industry we conducted compliance risk assessments for their operations and supply chain in the EMEA and ASPAC region. We reviewed relevant documents and procedures, interviewed key employees and moderated workshops in Bangkok, Dubai and Switzerland.

As part of our involvement with the UN Global Compact working group on Anti-Corruption in New York, we support in developing the Anti-Corruption Risk Assessment Guide which can be downloaded under www.globalcompact.org.

Hotline selection – various companies

Compliance Management 

Several multinational clients asked us to support in screening and short-listing potential hotline providers for their organization. Our role was to collect and critically evaluate the individual offers.

Screening policies and codes / Fraud response process review

Corporate Integrity 

Review code of conduct of a SME, review code of a large Swiss retailer

Tools and service developments

Interactive Dilemma game training

Corporate Integrity 

Utilizing an interactive game, employees can train the adherence to rules and guidelines playing a fun dilemma game. It allows an interactive development of corporate norms and compliance agenda. This follows the trend of gamification, to make training both more attractive and effective.

Measuring Corporate Integrity

Corporate Integrity 

Together with a reputable scientific institution, 4N6 Factory develops a tool to assess the corporate culture, to prevent employees of conducting fraud and misconduct.

FraudXplore (<http://www.fraudxplore.ch>)

FRAUD X PLORE

An interactive training. Improve your fraud response capabilities and knowledge.

Our network approach

4N6 Factory Network 

We are not a large firm. And we don't want to become one either. Instead we rely on a network of independent professionals, bringing in the right expertise when needed.

Currently our network consists of specialists in economic crime and IT, financial auditors, lawyers and state attorneys, forgery experts, profilers, detectives, fiduciaries and tax experts as well as sector specialists.

International partner:

