Advanced investigations in multi-national companies

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Agenda

- Introduction
- Internal Or External Resources?
- Investigative Steps
- Potential Issues & Critical Success Factors
- The Tech Data Perspective
Publicly traded
TECD
(Nasdaq)

$37.2B
In sales for Fiscal 2019

#88
on the FORTUNE 500

Operations in
40+ countries

Portfolio of
150,000+
IT products

125,000+
customers

14,000+
colleagues worldwide

100+
countries served

One of
FORTUNE’s
“World’s Most Admired Companies”

A Global Partner with Local Expertise

SUPPORTING PARTNERS AROUND THE WORLD

Americas

6,000 colleagues

45% of sales

ARGENTINA | BRAZIL | CANADA
CHILE | COLOMBIA | COSTA RICA
ECUADOR | MEXICO | PERU
UNITED STATES

Europe

7,000 colleagues

51% of sales

AUSTRALIA | BELGIUM | BULGARIA | CROATIA
CZECH REPUBLIC | DENMARK | FINLAND | FRANCE
GERMANY | HUNGARY | IRELAND | ITALY | LUXEMBOURG
NETHERLANDS | NORWAY | POLAND | PORTUGAL | ROMANIA
SERBIA | SLOVAKIA | SLOVENIA | SPAIN | SWEDEN
SWITZERLAND | TURKEY | UNITED KINGDOM

Asia Pacific

1,000 colleagues

4% of sales

AUSTRALIA | INDIA | INDONESIA | NEW ZEALAND | SINGAPORE | THAILAND | VIETNAM | MALAYSIA

AUSTRIA | BELGIUM | BULGARIA | CROATIA
CZECH REPUBLIC | DENMARK | FINLAND | FRANCE
GERMANY | HUNGARY | IRELAND | ITALY | LUXEMBOURG
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SERBIA | SLOVAKIA | SLOVENIA | SPAIN | SWEDEN
SWITZERLAND | TURKEY | UNITED KINGDOM
The investigation team - Questions

- Need to report to the regulator?
- What is the nature of the allegations?
- What skills are needed to complete the investigation?
- Expertise & sector knowledge?
- Where do you find the resources – internally or is external support needed?

RESOURCES

Required Skills

- Language requirements
- Interview skills and experience
- Legal knowledge: local laws and rules of evidence and practice of enforcement authorities
- IT - Forensics
- Sector specific knowledge
- Area of expertise

Availability, skills and independence of internal resources

- Legal
- Ethics & Compliance
- HR
- Security (IT Security and Corporate Security)
- Internal Audit
- Controlling & Finance
- Operations
### Points to consider

- Knowledge of the organization, the people and the culture
- Costs
- Trust
- Availability
- Language skills
- Forensics skills
- Conflicts of interest/Bias/Maintaining confidentiality
- Independence
- Experience
- Attorney-Client Privilege
- Ability to represent the company in potential criminal/civil/employment court proceedings

### RESOURCES: INTERNAL VS EXTERNAL

**INTERNAL**
- Independence
- Experience
- Attorney-Client Privilege

**EXTERNAL**
- Independence
- Experience
- Attorney-Client Privilege
- Ability to represent the company in potential criminal/civil/employment court proceedings

### INVESTIGATIVE STEPS

1. **PREPARATION**
2. **DATA COLLECTION**
3. **DATA ANALYSIS**
4. **INTERVIEWS**
5. **REPORTING**
6. **DETERMINATION OF DISCIPLINE**
7. **LESSONS LEARNED**
INVESTIGATIVE STEPS

PREPARATION

- Preliminary analysis of allegations
- Informing stakeholders
- Case plan, including goals
- Budget & timing

DATA COLLECTION

- Multiple sources of data
- Data Privacy
- Communication
- Maintaining confidentiality
- Gathering of available documents & data
- Selection of data and documents to be collected
INVESTIGATIVE STEPS

DATA ANALYSIS

- Identify and analyze gaps
- Maintain chain of custody
- Ensure data privacy requirements are met
- Email/electronic data – special tools used
- Other

INVESTIGATIVE STEPS

INTERVIEWS

- Strategy and sequence
- Location and team
- Other
INVESTIGATIVE STEPS

REPORTING

- Reporting to management and the Board
- Reporting to regulator
- Form

INVESTIGATIVE STEPS

DETERMINATION OF DISCIPLINE

- Local legal framework
- Disciplinary decisions
- Potential cases against employees and third parties
LESSONS LEARNED

- Changes to procedures and processes based on findings
- Share “lessons learned” with employees
- Communication

Potential issues

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<tr>
<th>EVIDENCE</th>
<th>Direct evidence not always available</th>
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<td>Destruction of information by employees involved</td>
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<tr>
<th>INVOLVEMENT OF EMPLOYEES</th>
<th>Large scale</th>
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<td>Fear of witnesses to cooperate</td>
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<th>LAWS</th>
<th>Local laws</th>
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<td>Works councils</td>
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<th>DATA</th>
<th>Availability and access to data</th>
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130+ Ethics Advisors Around the World

We are:
- A knowledgeable source of information and guidance for all Tech Data policies
- Here to support you with information and training
- Here to make sure your voice is heard

We are not:
- Training enforcers
- Investigators

Questions?