



**Regulated and
Independent
Monitorships**

◀ Integrity in Oversight

U.S. and foreign regulators are expanding the use of appointed independent third parties to assess and oversee how organizations address legal, compliance, and national security risks. These oversight mechanisms take many forms, including independent compliance monitors, national security agreement monitors, integrity monitors, security officers, independent board members, corporate compliance officers, and third-party risk officers.

These monitorships and oversight roles are often imposed as part of settlement agreements, deferred prosecution arrangements, or mitigation orders, and reflect heightened expectations around governance, transparency, and sustained remediation.

Who We Serve

- ▶ Global Financial Institutions
- ▶ Government Entities
- ▶ Public and Private Companies
- ▶ Private Equity and Strategic Investors
- ▶ Real Estate and Construction Companies
- ▶ Manufacturing and Industrial Firms
- ▶ Gaming and Casino Industries

◀ Our Approach

K2 Integrity has served in an oversight capacity in a variety of roles and across a broad range of industries. This includes serving as an independent monitor for banks and other financial institutions; as monitors or compliance officers for investors, strategic acquirers, and sellers pursuant to CFIUS mitigation agreements and orders; and as integrity or oversight monitors for corporate entities in the construction, real estate, manufacturing, gaming, and casino industries.

Our monitors may be appointed under government settlement agreements, engaged proactively, or brought in as a condition for avoiding criminal or civil charges. They address a broad range of financial crime, national security, and trade-related risks. This includes compliance with the Anti-Money Laundering (AML) framework, the Bank Secrecy Act, and the Office of Foreign Assets Control (OFAC); enforcement matters related to the Foreign Corrupt Practices Act (FCPA) and the UK Bribery Act; and protocols required under CFIUS mitigation orders.

We work closely with clients to adhere to settlement agreements and continuously assess and strengthen compliance programs and internal controls to identify, remediate, and prevent risks. This approach ensures regulatory objectives are met while aligning with and advancing clients' strategic business goals.

K2 Integrity delivers trusted monitorship expertise to strengthen compliance, reduce risk, and support sustainable business operations.

Core Competencies

K2 Integrity approaches monitorships seeking to collaborate with both regulators and our partners. We focus on practical solutions that ensure business continuity while advancing regulatory objectives.

Our approach is grounded in independence and credibility earned through repeated engagements with many of the same regulators, who trust our ability to deliver balanced, effective outcomes. We bring risk-based strategies, multidisciplinary expertise, and a proven track record to help businesses strengthen internal controls and build long-term resilience without losing sight of commercial goals.

Credibility

As a monitor for various regulators, we are trusted for our independence, diligence, and our deep understanding of their expectations, built through repeated successful engagements.

Innovation and Efficiency

We engage with clients and regulators to create tailored work plans that are cost-effective and efficient. Our experience allows us to be agile and responsive to changing requirements.

Collaboration

We are known for our ability to balance our responsibilities as a monitor with the need for organizations to continue executing their normal business operations.

Multidisciplinary Teams

We deploy a senior team of experts, including former regulators, prosecutors, cybersecurity and law enforcement professionals, data engineers, and forensic accountants.

Experience as a Monitor

We have served as an integrity or compliance monitor for a multitude of public and private companies and government agencies in finance, construction and real estate, gaming, and other industries.

Integrated Approach

As a monitor, we evaluate, design, implement, audit, and strengthen internal controls and compliance programs through risk-based reviews, reporting, and due diligence.

Our Philosophy

At K2 Integrity, we understand that critical moments define an organization's success. We strive to build financial and institutional integrity, reduce risk, and uncover truth. Our commitment to superior intelligence, expert analysis, and insightful solutions helps our clients navigate complexity and achieve better outcomes.

That is why our clients partner with K2 Integrity: to thrive in an ever-changing world filled with questions and risk.

Key Contacts

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