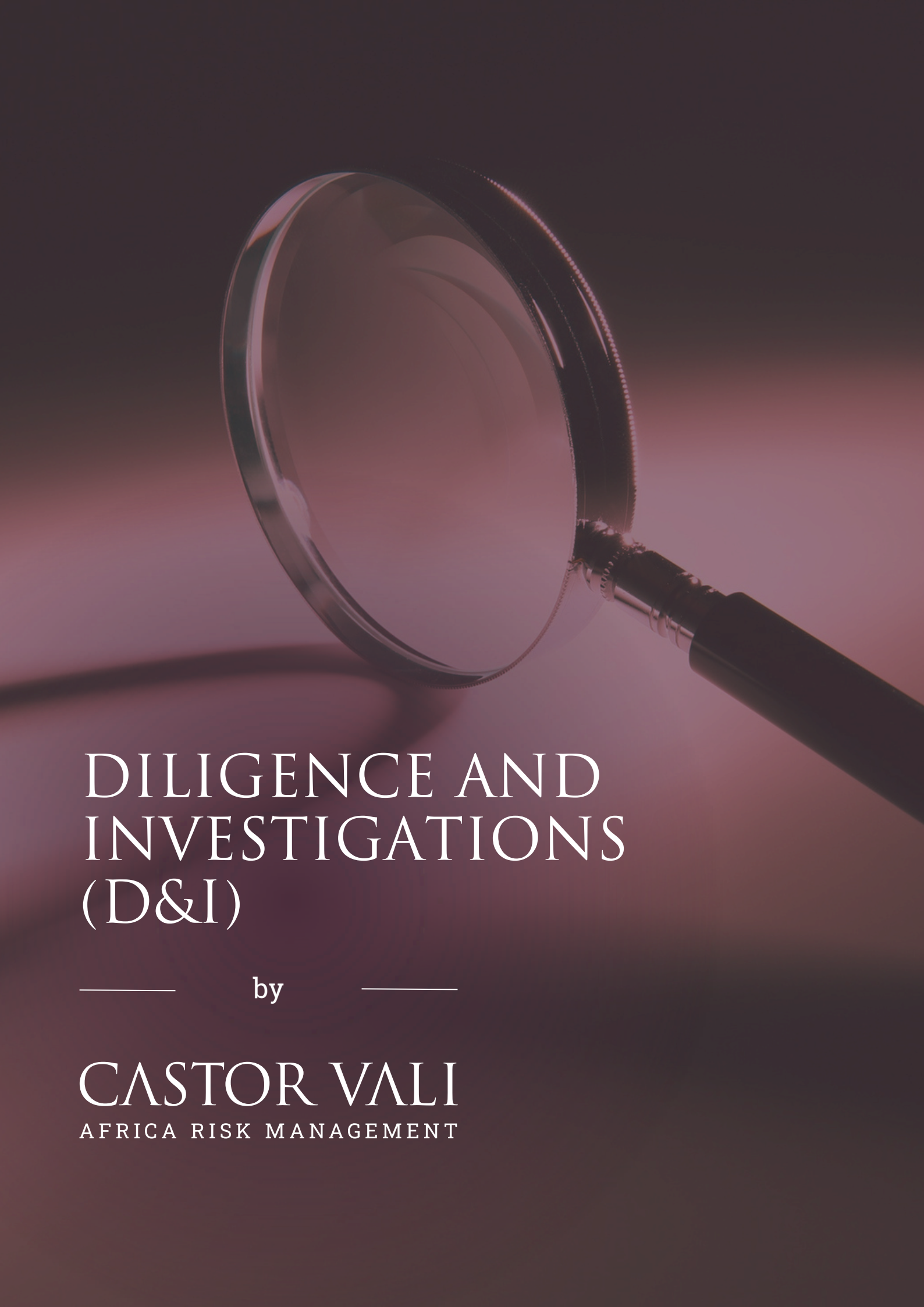


DILIGENCE AND INVESTIGATIONS (D&I)

by

CASTOR VALI

AFRICA RISK MANAGEMENT



DILIGENCE AND INVESTIGATIONS (D&I)

CLARITY AND CONFIDENCE IN HIGH-RISK ENVIRONMENTS

The risks that do most damage to a business are rarely obvious. They sit in ownership structures, in partners whose backgrounds have not been checked, in payments no one has questioned, and in allegations that surface only after a deal is signed or an appointment made.

Castor Vali's D&I division works on both sides of that problem. Our Diligence practice identifies risks before clients commit to a transaction, partner or market. Our Investigations practice establishes the facts when something has already gone wrong, to the standard that boards, regulators and courts require.

Our aim is to give clients the clarity to decide and the confidence to act.

HOW WE WORK

ONE TEAM

Investigators, forensic accountants and intelligence analysts work together on each mandate, supported by Castor Vali's in-country networks and Risk Intelligence Services.





CHALLENGING JURISDICTIONS

We work where information is hard to obtain and needs careful verification.

DEFENSIBLE FINDINGS

Reporting is clear, evidence-based and built to stand up to challenge.





DISCRETION AND INDEPENDENCE

Mandates are handled confidentially and reported objectively, with a focus on what the client needs to decide or do next.

DILIGENCE PRACTICE

UNDERSTANDING EXPOSURE BEFORE YOU COMMIT

The Diligence practice provides risk-based research and due diligence for transactions, market entry, partnerships and strategic decisions. We combine contextual analysis with source research, including public record and registry searches, document review, open-source intelligence and, where appropriate, human-source inquiries. Engagements can also be designed around a client's specific research objectives.

We work with investors, corporates and legal teams on mergers and acquisitions, IPOs, pre-investment assessments, executive appointments, sensitive partnerships, activist matters and expansion into new markets.



DILIGENCE PRACTICE

SERVICES



CORPORATE AND INDIVIDUAL DUE DILIGENCE

Research on companies, principals, shareholders, executives and counterparties, covering regulatory history, sanctions exposure, litigation, business affiliations, asset ownership, qualifications and reputation, with verification of selected records and representations.



PEP AND SANCTIONS SCREENING

Watchlist screening, politically exposed person checks and adverse media monitoring.



BUSINESS AND CORPORATE INTELLIGENCE

Research on sectors, competitors, counterparties, ownership structures, stakeholder influence and market dynamics.



GOVERNANCE AND COMPLIANCE REVIEWS

Review of governance frameworks, regulatory compliance and selected control environments, including financial reporting, anti-money laundering and data protection.

DILIGENCE PRACTICE

SERVICES



RISK AND THREAT ASSESSMENTS

Strategic, operational and tactical assessments of the financial, legal, regulatory, security and reputational risks facing a business, investment or partnership, matched to the client's operating environment and decision timeline.



CONFLICT ANALYSIS

Assessment of political, social and security dynamics that may affect investments, operations, counterparties and stakeholder engagement.



TOPICAL ISSUE REPORTING

Reports on jurisdiction- or sector-specific issues such as conflict minerals, local content, indigenisation and terrorism trends.



FACILITATION AND LIAISON

Support in dealings with government departments, regulators, local authorities and commercial counterparties, including resolving disputes and stalled licensing, permitting or registration processes.

INVESTIGATIONS PRACTICE

ESTABLISHING THE FACTS WHEN SOMETHING HAS GONE WRONG

The Investigations practice carries out independent, evidence-based inquiries into fraud, financial misconduct and disputes. Work may be prompted by an allegation, whistleblower report, audit finding, data leak, financial loss, management concern or regulatory inquiry, or commissioned as a proactive internal review.

Our work draws on forensic accounting, digital evidence review and data analytics, supported by Castor Vali's Discovery data programme.



INVESTIGATIONS PRACTICE SERVICES



FRAUD INVESTIGATIONS AND FRAUD RISK REVIEWS

Investigations into suspected fraud, corruption, embezzlement, financial misstatement and related misconduct, including review of financial records, processes, internal controls and digital evidence, and support with related regulatory, civil or criminal proceedings.



PROCUREMENT FRAUD INVESTIGATIONS

Investigations into irregular sourcing, conflicted vendor selection, inflated pricing, non-performance and the supply of substandard goods or services.



ASSET MISAPPROPRIATION INVESTIGATIONS

Investigations into theft, diversion and unauthorised use of assets, expense abuse, payroll fraud and other internal misappropriation.



MONEY LAUNDERING INVESTIGATIONS

Analysis of financial and corporate records to identify suspicious fund flows, layered transactions and indicators that illicit proceeds have been disguised as legitimate income.

INVESTIGATIONS PRACTICE SERVICES



RECKLESS TRADING INVESTIGATIONS

Review of conduct that may indicate gross negligence, unlawful trading or breaches of legal and fiduciary duties.



INTELLECTUAL PROPERTY INVESTIGATIONS

Investigation of suspected infringement and misuse of proprietary information.



CASH TRACING AND FLOW-OF-FUNDS ANALYSIS

Reconstruction of fund flows to identify misappropriation, concealed transfers and beneficial recipients.



ASSET TRACING AND REGISTRY SEARCHES

Identification and location of assets across jurisdictions, using public and private records including corporate, property, vehicle, estate and credit registries, for contentious, insolvency, fraud and recovery matters.

INVESTIGATIONS PRACTICE SERVICES



LITIGATION, ARBITRATION AND MEDIATION SUPPORT

Financial, investigative and intelligence support for contentious matters, including document and evidentiary review, case assessment, damages analysis, assessment of opposing positions, identification of new information sources and evaluation of witness credibility.



EXPERT WITNESS SERVICES

Independent expert analysis and testimony based on a detailed review of the facts and financial evidence.



VALUATION SERVICES

Valuations of companies, groups, partnerships, trusts and other business interests for disputes, shareholder matters, transactions and restructuring.



TRANSACTIONAL SUPPORT AND FORENSIC DUE DILIGENCE

Analysis of financial, operational and commercial information to support mergers and acquisitions, investments and partnerships.

TECHNOLOGY PLATFORMS

DIGITAL PULSE AND DISCOVERY

TECHNOLOGY THAT SUPPORTS OUR ANALYSTS

D&I work is supported by two Castor Vali platforms. Both are operated by our analysts, who review, verify and interpret what the technology finds.

CASTOR VALI
Digital Pulse

Monitors online news, social media, blogs, forums, podcasts, video and review sites for references to a client, its people, its operations and its operating environment. It analyses sentiment, emerging issues, influential voices and geographic spread. In diligence work it gives early warning of reputational and operational risk. In investigations it tracks allegations, misinformation and activism as they develop.

CASTOR VALI
Discovery

Is a secure search and analytics platform for large data sets. It brings together documents, spreadsheets, emails and other client records with company registries, sanctions and PEP lists and public sources. It maps links between people, companies and transactions up to ten degrees of separation, and custom rules flag indicators of fraud, money laundering and other anomalies.

The two platforms are integrated, so online and social media data from Digital Pulse can be analysed alongside a client's own records in Discovery.



D&I ENQUIRIES

To discuss a diligence or investigations mandate, contact:



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AFRICA RISK MANAGEMENT

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