

A. EXECUTIVE SUMMARY

3 XUVXDQW WR WKH) 7 & V 5 H TixpHevisedo Is Roburnit Shis Application WLRQV to serve as the Independent Compliance Auditorior Herbalife International of America, Inc., Herbalife International, Incand Herbalife Ltd. (Herbalife) ursuant to an Order for Permanent Injunction and Monetary Judgn (the net Stipulate Order), entered on July 25, 2016 E \ WKH + RQRUDEOH % HYHUO \ 5 HLG 2 · & RQQHOO 8 QLV Manhattan District Attorney 5 D F N H W V % X U H D X D Q G 7 U L D O 'L Y L V L I I R U V R P H R I W K H 2 I I L F H · V P R V W V L J Q L I L F D Q W F D V H V of the Westies gang and the prosecution of John Gotti and members and associates of the Gambino Organized Crime Family. Mr. Schlanger is a graduate of the State University of New York at Binghamton and New York University School of Law.

5 R \ 3 R O O L W W L V D 0 D Q D J L Q J 'L U H F W R U E D V H G R X W R I honed in some of the largefistancial institutions and law enforcement agencies in the country, Mr. Pollitt brings not only leadership but powerful forensic accounting and investigations experience to the Exiger team.

Mr. Pollitt joined Exiger after a-year career as a SpecialnAger the Federal Bureau of Investigation in New York City. With the FBI, Mr. Pollitt developed a deep expertise investigating frauds involving moheandering, bid

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Beforereturningto the Manhattan District \$ W W R Off@etdo serveasthe ChiefAssistant DA, Mr. Alonsospenfour years salitigation partner in the New York office of Kaye Scholer LLP, where his practice ocused on, amongo the rareas internal investigation s. While there he served, at the recommendation of the Commodity Futures Trading Commission and by appointment of a U.S. District Judge as the Receive of a fraudulent investment entity called IA Trading.com/whosefounderhadperpetrate a\$43 million Ponzischem in SouthAmerica and elsewhere.

 $\label{eq:secutive} A spart of his duties at Exiger, Mr. Alons oserves n the Executive Committee verse einghe HSBC$ 

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second line of defense financial crime compliance assurance capability, whilst under a Deferred Prosetion Agreement.

In her time at Barclays, she also worked as the Globberadoof Barclays Internal Audit Quality Assurance function, where she was responsible for assuring the audits covering risk disciplinesShe has also held roles as the Regional offeaudit (UK/EME) for Barclays Investment Bank and served as an IT Audit Director. LQYHVWLJDWLRQV DQG FRUSRUDWH FKDOOHQJHV 3H senior managemtenstaff or other external groups using excellent communication skills. Additionally, Penny has extensive experience in training and developing professional staff.

Previously, Penny was employed by KarolInvestigative and forensic accounting practice, where she was most recently a Director in the Toronto office of Kroll Canada. Between 2003 and 2009, Penny was a member of the teams of lawyers, auditors and law enforcement specialists who acted as timeependent Monitors for the Los Angeles Police Department and the Detroit Police Department. In these roles Penny was the lead auditor for the LAPD WHDP DQG VKH SURYLGHG SHHU UHYLHZ IRU WKH '3' of police performance attalto determine if they met the standards outlined in the respective & RQVHQW 'HFUHHV 3HQQ\ DOVR FRDFKHG WKH FOLHC skills.

Erika Peters

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Prior to her time at American Express, Ms. Peters spent 10 y Deautssalhe Bank in various risk and control capacities. She wassestant Vice Resident within Internal Audit at Deutsche Bank in New York. While there, she executed compliance audits, with a particular focus on financial crime compliance, - anothey laundering a tradams action

RIWKH, QWHUQDO \$XGLWWHDPDW %DUFOD\.V %DQN support to the internal audit teams covering?maphiey laundering, know your customer, sanctions, fraud, security and data protection, U.S. Foreign Account Tax Compliance Act, bribery and corruption.

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## DATA MANAGEMENT

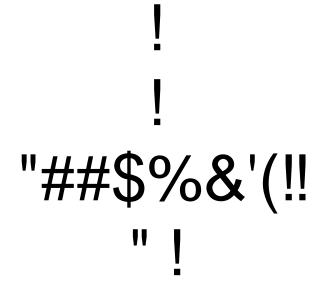
As noted above, Exiger is intimate with the secure storage of data. Likewise, in executing our assignments we manage our data with a data repositority mes referred to and ata room, which maintain and itable trail of inclusion, examination and removal of any and

0 U & KHUNDVN\ ZDV DSSRLQWHG E\ WKH 8 6 'H-SDUWPH money laundering and sanctions compliance programschlanger served as the Deputy Monitor on this project, from its inception until his return to public service in February 2014, and upon his joining Exiger in May 2015, has continued to play a supervisory role in the monitorship. Mr. Alonso also playsupervisory role in the monitorship, and Mr. Pollitt and Mr. Ball have layedkey roles in particularelated segments of the monitorship. Contact AUSALaura Billings f the Asset Forfeiture and Money Laundering Section of the Department of Justice (2305-1245 and Stuart Levey, General Counsel of HSBC Bank at 011 44 20 7991 8822

New York City, Department of Investigation Pursuant to an RFP processiger was chosen in 2015 by the New York City Department of Investigation (DOI) to be the Constru

assessment tasks will **hep**ortedon in each reportAs indicated above, the MADC will outline the methodology and metrics by which substantial compliance will be assessed. The report will specify whether the specific assessment ta3kHytel DQ ´,Q & R P S O L D Q F

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Compliance ... Compliance with this provision will be achieved when the following

## Appendix B

Independent Compliance Auditor for Horbalife

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