



## Global Governance and Compliance

DLA Piper's Global Governance and Compliance group has unparalleled experience helping clients with international operations meet the evolving – and sometimes conflicting – expectations of regulatory and enforcement agencies.

With compliance-focused lawyers in over 75 offices covering more than 35 countries and their capital cities, we have the global breadth, local knowledge and industry experience to guide clients in all aspects of designing, implementing and managing compliance programs, assessing and mitigating risk, remediating compliance issues and running internal investigations.

The best compliance program in the world is worthless if it cannot be implemented effectively. Importantly, our Compliance team includes former general counsels and in-house chief compliance counsel, as well as business leaders who ensure we provide practical and actionable advice.

Regulators recognize this and often investigate whether an organization's compliance program is truly integrated, or whether it is simply a paper program. But a compliance program is equally worthless if it does not also allow you to conduct business profitably and efficiently. We understand this balance and ensure that our compliance advice and recommendations can be implemented and eliminate or mitigate a company's greatest legal risks without disrupting lawful business goals and practices.

### CAPABILITIES

Partnering with our clients, we focus on the following components:

- Tone at the top and building an ethical culture
- Awareness
- Structure and governance
- Budget
- Benchmarking
- Code of business conduct and ethics
- Policy review, reconciliation and awareness
- Training
- Complaint channels and ethics hotline

### KEY CONTACTS

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- Reporting and Metrics
- Escalation protocols

## EXPERIENCE

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Our clients include:

- A \$130 billion financial services company for which we helped build a global compliance program from the ground up while under the scrutiny of a federal monitor
- Some of the largest-in-class pharmaceutical and consumer products companies for which we have re-designed, tested and remediated global compliance programs in the world's highest-risk countries
- International airlines with operations in four continents
- Energy companies of all stripes
- A wide range of sophisticated organizations requiring support in internal investigations, such as the investigation into the use of steroids in Major League Baseball and the monitoring of Penn State University as supervised by DLA Piper Chairman Emeritus Senator George Mitchell

## INSIGHTS

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### Publications

#### Antitrust Matters - November 2019

18 November 2019

#### [ANTITRUST MATTERS SERIES](#)

We're pleased to share with you a new Edition of our periodical global publication Antitrust Matters

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#### US Supreme Court denies review of *Robles v. Domino's Pizza*, opening door to more lawsuits on website and mobile app accessibility claims

16 October 2019

Does the ADA apply to websites and mobile apps?

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#### Treasury Department proposes regulations comprehensively implementing FIRRMA and reforming CFIUS national security review

19 September 2019

The proposed regulations affect non-controlling investments involving critical technologies, critical infrastructure, and sensitive personal data; and transactions involving real estate near sensitive national security facilities.

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#### Brexit for the insurance sector: No-deal regimes in the UK and Europe

17 September 2019

#### [INSURANCE HORIZONS SERIES](#)

This guide has been prepared by DLA Piper's insurance regulation team to provide a high level overview of post-Brexit regimes that are being implemented in key EU markets, and in the UK. It is intended to help insurers and intermediaries with their planning

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in the run up to a possible no-deal Brexit.

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### **FTC announces Cambridge Analytica settlement**

25 July 2019

A sign that the FTC may be stepping up its pursuit of individual liability in addition to corporate liability.

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### **Updated FATF standards include interpretative note on virtual assets**

16 July 2019

The FATF updates its anti-money laundering and counter-terrorist financing standards.

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### **Proposed amendments to Canada's anti-money laundering regulations aim to close loop holes**

15 APR 2019

Long-awaited amendments to Canada's anti-money laundering regulations are set to come into effect this coming fall. A number of deficiencies in the regulations had been previously identified in reports by inter-governmental agency, the Financial Action Task Force, and the US State Department.

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### **Top of Mind: Litigation**

20 MAR 2019

In this issue, our coverage of 10 big topics businesses have been thinking about this quarter.

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### **2019 Proxy Season Hot Topics: Part 3 – SEC hedging rules, auditor report, Form 10-K changes**

15 FEB 2019

#### **[2019 PROXY SEASON HOT TOPICS](#)**

New SEC hedging rules, changes to the auditor's report, changes to Form 10-K cover pages and exhibit hyperlinks.

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### **Keeping watch on smartphone app payments in China**

7 FEB 2019

Now could be a good time to think about the level of transparency your company may have in connection with smartphone app payments by your employees.

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### **Top of mind: Litigation**

10 DEC 2018

Our coverage of big compliance, enforcement and litigation issues that businesses are thinking about this quarter.

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## **Global Anticorruption Newsletter**

5 DEC 2018

DLA Piper's *Global Anticorruption Newsletter* offers practical guidance on complying with international bribery laws.

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### **CFIUS pilot program mandates declarations for certain non-controlling investments in critical technologies**

17 OCT 2018

The pilot program covers critical technologies in 27 industries.

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### **Four tips for an effective eDiscovery plan in China**

19 SEP 2018

A timely and well-documented eDiscovery plan, comprehensively addressing compliance with local laws, can also go a long way to address potential post-collection inquiries.

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### **The Second Circuit rules against DOJ's aggressive assertion of extraterritorial FCPA jurisdiction over foreign accessories**

29 AUG 2018

The ruling stands to limit DOJ's ability to bring FCPA charges against foreign nationals who do not travel to the US.

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### **The GDPR's impact on internal investigations**

10 JUL 2018

The impact of the European Union's General Data Protection Regulation on corporate internal investigations and criminal and civil litigation – both within the EU and abroad – has received little attention. Here, we take a look at the GDPR's privacy requirements through the lens of internal investigations and litigation.

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### **International HR and employee discipline issues in FCPA matters**

10 JUL 2018

Local laws, practices and cultural differences mean that the differences between investigations from one country to another, and the consequences of failing to understand them, can be significant. Here are some of the key considerations for multinational employers when they are conducting cross-border investigations.

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### **Super-apps complicate corporate compliance, pose heightened risks under FCPA Corporate Enforcement Policy**

10 JUL 2018

Super-apps allow seamless interaction between colleagues, customers, suppliers and other business parties. In some jurisdictions,

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local employees communicate exclusively via such apps – but this conduct presents grave legal, compliance and risk-management challenges.

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### **Declinations for self-reporting on the rise under FCPA Pilot Program and Corporate Enforcement Policy**

10 JUL 2018

The DOJ appears to be following through on its pledge to increase declinations in exchange for self-reporting potential FCPA violations.

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### **Crypto industry sweep: ICOs and token offerings under increasing scrutiny by US regulators**

18 APR 2018

Recent enforcement developments targeting the cryptocurrency community, and the opportunities and challenges that lie ahead.

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### **Smartphone apps pose heightened compliance risks under new US FCPA Corporate Enforcement Policy**

7 FEB 2018

Smartphone users in China and many other emerging economies increasingly rely on so-called super-apps, which integrate features otherwise accessible through multiple applications under a single user interface and account.

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### **While you are celebrating: 4 simple holiday season cyber-readiness steps for Asian businesses**

12 DEC 2017

Attacks are more likely to happen during the holiday seasons when a company's key decision makers are on leave and its resources are stretched.

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### **DLA Piper's 2016 Compliance & Risk Report: What CCOs need to know**

19 APR 2016

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### **Mexico's new National Anticorruption System: 7 key points**

20 JUL 2015

Constitutional reform regarding the creation of the National Anticorruption System

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### **Third parties: 4 FCPA takeaways for working with distributors**

24 SEP 2014

Four key challenges and related "cures"

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## NEWS

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### **DLA Piper announces launch of Artificial Intelligence practice**

14 MAY 2019

DLA Piper announced today the launch of its Artificial Intelligence practice, which will focus on assisting companies as they navigate the legal landscape of emerging and disruptive technologies, while helping them understand the legal and compliance risks arising from the creation and deployment of AI systems.

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### **DLA Piper advised Geophysical Sub-Strata on its tap sale of US\$114.5 million Guaranteed Medium Term Notes**

4 APR 2019

DLA Piper has advised Geophysical Sub-Strata Ltd. on the tap sale of US\$114.5 million 8% Guaranteed Medium Term Notes due 2023 as Series 001, Tranche 002 under the Company's US\$400,000,000 Guaranteed Multicurrency Medium Term Note Programme.

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### **DLA Piper announces partnership promotions for 2019**

1 APR 2019

DLA Piper is proud to announce that 77 lawyers have been promoted to its partnership. The promotions are effective as of April 1, 2019 in the United States and May 1, 2019 for EMEA and Asia Pacific. The promotions were made across many of the firm's practice areas in 43 different offices throughout 20 countries.

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### **DLA Piper announces launch of Blockchain and Digital Assets practice**

26 FEB 2019

DLA Piper announced today the launch of its Blockchain and Digital Assets practice, which will offer strategic advice on a global basis to address the needs of companies implementing blockchain technology solutions and creating and deploying digital assets.

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### **Kate Brown de Vejar joins DLA Piper as global co-chair of International Arbitration**

22 JAN 2019

DLA Piper announced today that Kate Brown de Vejar has joined the firm's Litigation practice as a partner in Mexico City and New York.

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### **2018 Compliance & Risk Report: Compliance Settles In, Personal Liability Concerns Persist and Technology Emerges as the Next Frontier**

15 NOV 2018

Although corporate compliance officers (CCOs) received greater support for their programs, concerns about personal liability increased over the past year, according to a new survey released by DLA Piper.

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## **DLA Piper and IKM Advocates secure victory for the Republic of Kenya defeating a US\$2 billion ICSID claim**

24 OCT 2018

In a decisive victory for the Republic of Kenya, DLA Piper and DLA Piper Africa member firm, IKM Advocates, have successfully defeated the claim estimated to be worth US\$2 billion in arbitration proceedings brought by a mining investor, Cortec Mining Kenya Limited. The claim was brought under the bilateral investment treaty (BIT) between the UK and Kenya dated 13 September 1999. The arbitration took place under the auspices of the World Bank's International Centre for Settlement of Investment Disputes (ICSID), with the hearing taking place in Dubai in January 2018. The Tribunal issued its award on 22 October 2018.

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## **DLA Piper hosts inaugural Afghanistan-UK Business Conference**

18 SEP 2018

DLA Piper's London office yesterday hosted the first Afghanistan-UK Business Conference, organised by the Embassy of the Islamic Republic of Afghanistan in London and the International Chamber of Commerce in Afghanistan. The event, aimed at further enhancing Afghanistan-UK bilateral business, trade and investment relations, was attended by over 100 participants including public and private sector leaders, potential investors, NGOs and consultants, amongst others.

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## **DLA Piper represents the Securities and Exchange Board of India (SEBI) to recoup funds from one of the world's largest Ponzi schemes**

16 AUG 2018

DLA Piper has successfully acted with Counsel (Thomas Bradley QC, Michael Hodge QC and Julia O'Connor) for the Securities and Exchange Board of India (SEBI) in the second of two proceedings before the Federal Court of Australia.

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## **DLA Piper announces partnership promotions for 2018**

3 APR 2018

DLA Piper is proud to announce that 62 lawyers have been promoted to its partnership. The promotions are effective as of 1 April 2018 in the United States and 1 May 2018 for EMEA and Asia Pacific. The promotions were made across many of the firm's practice areas in 42 different offices throughout 20 countries.

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## **DLA Piper Africa advises Adenia Partners on acquisition of controlling stake in Kanu Equipment Limited**

23 MAR 2018

Kanu has been driving an expansion strategy across Sub-Saharan Africa in recent years and the business now operates in 13 countries, servicing the agriculture, construction and mining industries.

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## **DLA Piper advises Timor-Leste on historic maritime treaty**

6 MAR 2018

DLA Piper has been advising the Government of Timor-Leste, for more than four years, on its historic maritime treaty with the Australian Government, signed today at the United Nations Headquarters in New York, following the successful outcome of a compulsory conciliation process.

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## **Businesses still not fully aware of Data Protection issues**

31 JAN 2018

DLA Piper has released its second Data Privacy Snapshot report, finding that once again, company global privacy programs have gaps in meeting increasingly demanding global privacy principles. Significantly, it appears that many companies are falling short of data protection obligations under the General Data Protection Regulation (GDPR), which will start to apply from 25 May 2018.

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## **DLA Piper appoints dispute resolution lawyer Natalie Caton to partnership**

29 JAN 2018

Global law firm DLA Piper has appointed senior dispute resolution lawyer, Natalie Caton, as a partner of the firm effective 29 January 2018. She joins DLA Piper's Litigation and Regulatory practice from King & Wood Mallesons.

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## **Stephen Matthews joins DLA Piper's Litigation practice in New Jersey**

17 JAN 2018

DLA Piper announced today that Stephen Matthews has joined the firm's Litigation practice as a partner in the Short Hills, New Jersey, office.

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## **DLA Piper advises Laureate Education on the US\$162 million sale of its institution in Malaysia to Affinity Equity Partners**

8 JAN 2018

DLA Piper has advised Laureate Education (NASDAQ:LAUR), the world's largest global network of higher education institutions, on the sale of its global network institution in Malaysia -INTI University and Colleges (INTI)- to Affinity Equity Partners ("Affinity"), one of the largest independent private equity firms in the Asia Pacific region, for a total transaction value of US\$180 million. The net transaction value to Laureate under the Agreement will be US\$162 million.

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