



Global Governance and Compliance

Who we are

DLA Piper has unparalleled experience helping clients throughout the business lifecycle meet the evolving – and sometimes conflicting – expectations of regulatory and enforcement agencies. Our Compliance team consists of skilled attorneys in more than 40 countries, including former general counsels and chief compliance officers and business leaders who ensure we provide practical and results-oriented advice. Former regulators, senior policy officials and experienced trial attorneys around the globe offer the knowledge and experience necessary to address client needs in a way that will meet regulators' expectations.

What we do

We have the global breadth, local knowledge and industry experience to guide clients in all aspects of compliance issues.



Designing, implementing &
monitoring compliance programs



Assessing and mitigating risk

KEY CONTACTS

Adam Vause

Partner
Dubai
T: +971 4 438 6343
adam.vause@dlapiper.com

Sammy Fang

Partner
Hong Kong
T: +852 2103 0649
sammy.fang@dlapiper.com

Stefanie Jill Fogel

Partner
Boston
T: +1 617 406 6053
stefanie.fogel@dlapiper.com

Brett Ingerman

Partner
Baltimore (Mount
Washington)
T: +1 410 580 4177
brett.ingerman@dlapiper.com

Nathan Bush

Partner
Singapore
T: +65 6512 6065
nathan.bush@dlapiper.com

Patrick Rappo

London



Detecting and investigating
potential misconduct



Remediating compliance issues

How we do it

Using cross-functional teams to establish a seamless, integrated approach, as well as leveraging local and industry-specific experts, DLA Piper's Global Governance and Compliance team provides real-time local insight and strategic analysis to help our clients navigate the compliance intricacies and risks associated with their businesses.

The Global Governance and Compliance team additionally provides innovative, value-added tools, such as our compliance films, our CLE webinar series targeted towards the modern compliance officer and a free, abbreviated version of COMPASS, a compliance risk assessment, to help your team and company stay on top of its evolving compliance program.

Compliance Survey
Website

Compliance
Films

COMPASS

Modern Compliance Officer Series

Global Bribery Offenses Guide

CAPABILITES

Our service offering is multifaceted and tailored to each client's unique needs. Subject-matter-specific advice, including anti-bribery and anticorruption, anti-money laundering, antitrust and competition, trade compliance, environmental compliance, food and product safety, data privacy and cybersecurity, political contributions/lobbying, trade and sanctions, among others. Other services include:

Assessments of risks factors
as balanced against the
strategic plan and
go-to-market strategy



Process mapping to
determine control
architecture



Development of statistical
models to judge the health of
the client's reporting system
and provide insights



Communication strategies
for setting the right tone



Management of structured
and unstructured data to
provide statistical inferences
of risk-profiled behaviors



Creation and/or review of
tailored policies and
procedures



Deployment of client-owned
mobile applications to place
the policies and procedures
at the point of impact



Monitoring and testing
compliance program control
strategy and metrics



Design and implementation
of targeted training programs
mapped against employee
roles and responsibilities



Development of hotline procedures, escalation protocols and investigation procedures



Offering intelligence on - and insight into - regulatory developments



Management of regulatory and commercial crises



EXPERIENCE

- Represented the audit committee of a multinational technology company in an internal investigation focused on whether certain payments made by the company's India operations were made improperly and in possible violation of the FCPA and other applicable laws. As part of the engagement, we coordinate with local counsel and the company's local and global financial auditors. We advised the client on remediation to its global compliance and ethics program. The scope of the remediation not only included the anticorruption compliance program, but also advice on strengthening the core ethics component of its global corporate compliance program.
- Assisting a major multi-national cosmetics company to design, manage and implement a series of compliance initiatives in its APAC, EMEA, LATAM and North American markets. We worked together to update a pre-existing global compliance risk assessment, designed and implemented a compliance monitoring program, worked with internal audit to improve the auditing of the compliance management function, revised investigation protocols to improve efficiency and protect the applicable privileges, drafted or revised numerous compliance policies (including anti-corruption, gift-giving/hosting, trade sanctions, conflict of interest, social media, free merchandise, cash advance, direct government engagements and third-party vendor due diligence), and developed a global training plan. We also conducted an objective risk assessment on third-party vendors, designed an effective due diligence program for the vendor base, and administered the due diligence process on those vendors that presented the highest risk.
- Undertaking a comprehensive review of data privacy laws in 67 jurisdictions for a leading global bank. This brought together advice from across the globe on key data privacy issues including: basic data privacy requirements in each jurisdiction; banking secrecy, the interaction of data privacy and HR; CCTV and employee monitoring; IT organization, management and security; the use of personal data in marketing; the use of personal data on the internet and organizations' intranet; and cross-border transfers .
- Advising Hyundai and Kia in relation to global compliance work relating to ABC. As part of this process, lawyers from our offices in Seoul, Germany and Brazil, have conducted multiple anti-bribery and anti-trust compliance training sessions at Hyundai Motor and KIA Motors' plant locations around the world.
- Acting as the Compliance Officer for a multi-billion dollar energy transportation company. This role involved conducting anti-bribery

due diligence on numerous bidding entities and advising on the associated risk, advising on policies and procedures, training the Board and third parties and advising on measures required of contractors to ensure bribery risks were minimized as far as possible.

- Advising an international insurance company, following a full scale and intensive review of the client's compliance framework and suite of policy documentation, on developing its Australian whistle-blower policy and to work with and train all of the key stakeholders (including the company's board and senior executives) on their obligations under the policy.
- Continuing to provide a major pharmaceutical company with compliance counsel and assistance in further developing and honing the company's global compliance programs and processes - including as compliance counsel in an ongoing monitorship with the SEC.
- Conducting a multi-jurisdictional compliance risk assessment and 'health check' for a FTSE 250 gambling company which covered: Anti-Bribery & Corruption, Anti-Money Laundering, Ethics, the Criminal Finances Act 2017, Responsible Gambling, and Human & Labour Rights. The risk assessment included a review of existing policies and procedures, multiple interviews across the business, and a compliance questionnaire. Our findings were then analyzed to produce a risk matrix, a heat map and a findings report. A multi-jurisdictional training program was then rolled out across the business which factored in the key learning points.
- Assisting a leading Italian based multinational group in the oil, gas and power industry in updating the ex post (after the perpetration of a crime) organizational, management and control model, with a specific focus on safety rules, following legal issues relating to the kidnapping of four employees of the company in Libya.

INSIGHTS

Publications

SEC proposes rules affecting share repurchases

11 January 2022

The SEC says the proposed rules are intended to reduce "information asymmetries" between issuers and investors.

EU Whistleblower Directive: Implementation Tracker - Whistleblowing Laws in Europe: An international guide

January 2022

Third Circuit deepens circuit split on government's ability to dismiss qui tam complaints over relator's objection

11 November 2021

When is the government entitled to dismiss a relator's complaint over the relator's objection? The split among the circuits deepens.

The global landscape of data privacy: Important points about new laws in three key jurisdictions

21 September 2021

PRACTICAL COMPLIANCE

New data privacy requirements in three important jurisdictions – the European Union, China, and Brazil – with an emphasis on action steps for compliance officers.

The challenges of compliance in a modern world: The changing landscape of cartel enforcement

7 September 2021

ANTITRUST MATTERS

With the rise of technological developments, we also have seen increased risks. In this new digital world, we are creating more data year on year. Data storage, ease of communications (including the use of email and chat), along with the ease of photos and videos means that data volumes are increasing exponentially.

US v. Bescond addresses "fugitive disentitlement": Potential game changer for foreign-based defendants facing US charges

30 August 2021

The Second Circuit found that a French citizen who had been in France throughout the period of the alleged crimes was not a "fugitive" and that the district court abused its discretion by applying the fugitive disentitlement doctrine.

Top 10 trends for US employers – Mid-year update

24 August 2021

We recap key developments over the last six months and look at the potential changes ahead related to the top 2021 trends we identified at the start of the year.

SEC adopts Nasdaq diversity listing standards: Key takeaways and action items

12 August 2021

In approving the rule, the SEC found that it would improve investor access to transparent and consistent diversity data.

Blockchain and Digital Assets News and Trends

21 June 2021

BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS

Biden tax plan spotlights cryptocurrency transactions; FTC announces spike in cryptocurrency investment scams; El Salvador is first country to adopt bitcoin as legal tender.

Whatever your sector, ransomware attacks are changing how to think about platform security risk: Action steps

14 June 2021

In an increasingly digitized economy, creating awareness of platform security risks is critical.

Supplementary – United States – Whistleblowing Laws in Europe: An international guide

There are many US federal statutes that prohibit employers in the private sector from retaliating against whistleblowers, many of which are sector or industry specific.

Blockchain and Digital Assets News and Trends

20 May 2021

BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS

SEC issues Staff Statement on investments in the bitcoin futures market, plus latest legal developments governing the use and acceptance of blockchain technology, smart contracts and digital assets.

Expanding the scope of deception? Key questions and takeaways from the CFPB's recent settlements with SettleIt and Nationwide Equities Corporation

5 May 2021

The settlements shine a light on the Bureau's potential strategy for enforcing the Dodd-Frank prohibition against deception.

Blockchain and Digital Assets News and Trends

23 April 2021

BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS

SEC revises token safe harbor proposal; UK updates tax treatment of cryptoassets.

SEC Commissioner Peirce issues revised token safe harbor proposal

23 April 2021

The proposed rule provides two paths to an exit that would allow the company to keep operating without registration of the tokens.

Locking down market abuse

14 April 2021

The FCA has recently taken action against a number of individuals for market manipulation and insider dealing. This is a clear sign of the regulator re-focusing its attention on these offences, and is something that readers need be aware of to ensure they stay on the right side of the rules.

10 tips for safeguarding privileged communications in a remote work world

13 April 2021

Many of these technologies are so new that they are not yet the subject of case law.

Understanding securities enforcement

7 April 2021

Addressing the basics that matter in the course of a securities investigation.

China's Expanding Economic Sanctions Regime

31 March 2021

On March 22, 2021, the European Union (EU) and the governments of the US, Canada, and the UK concurrently imposed sanctions on individual Chinese officials and a Chinese entity based on findings of human rights violations in Xinjiang.

Top employee benefits issues to watch

31 March 2021

The top 10 issues likely to impact plan sponsors in 2021 and beyond.

Representing individuals in interviews – the US perspective

30 March 2021

Determining whether to consent to an interview, and any interview itself, can be pivotal.

SEC interim final amendments signal stricter regulation on Chinese and other emerging market companies

29 March 2021

Under the new requirements, certain companies must establish that they are not owned or controlled by a foreign government entity and must disclose any foreign government influence.

Blockchain and Digital Assets News and Trends

22 March 2021

[BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS](#)

Wyoming moves to clarify legal status of DAOs; court dismisses class action against a cryptocurrency exchange.

Making Compliance Part of Your Business DNA

2 March 2021

[HEALTHCARE Q&A SERIES](#)

At the DLA Piper 2021 Healthcare Leadership Conference, Charles will participate in the panel, *What is an effective compliance program*. This session will explore the shift in the federal government's approach to compliance program effectiveness and how new trends will impact organizational and enforcement efforts in the future.

Blockchain and Digital Assets News and Trends

25 February 2021

[BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS](#)

Canada's AML regime amendments: is your interactive entertainment service or platform operating a "money service business"?

Puerto Rico: Employers must establish workplace harassment protocols – guidelines are available

23 February 2021

Employers in Puerto Rico have until August 2, 2021 to adopt protocols on workplace harassment.

Expectations for white collar enforcement under the Biden Administration

18 February 2021

Six key areas where the Biden Administration may focus its enforcement efforts.

Corruption Perceptions Index 2020 - a regional perspective

11 February 2021

Last week Transparency International launched the 2020 edition of its Corruption Perceptions Index (CPI), which ranks 180 countries and territories by their perceived levels of public sector corruption, according to experts and business people, using a scale of zero to 100 (100 being very clean and zero being highly corrupt).

Defensible deletion: The proof is in the planning

5 February 2021

A framework for making defensible deletion an attainable goal.

Year in review and 2021 preview – Top 10 trends for US employers

2 February 2021

We identify the top 10 trends impacting US businesses as we close out 2020 and enter 2021.

***Something to Report*: DLA Piper's latest film**

28 January 2021

Something to Report is a 45-minute fictional corporate drama created as a training tool for directors, legal departments and management at companies around the world.

DLA Piper launches Compliance App

28 January 2021

DLA Piper has launched the Compliance Atlas app, a mobile solution built to meet the policy needs of modern-day companies.

Disputes, Issue 2

28 January 2021

DISPUTES

In this issue, we look at the split among the federal circuits over what it means to "exceed authorized access" in violation of the Computer Fraud and Abuse Act; the ways in which the federal courts apply the Supreme Court's recent limitations on equitable disgorgement; ways to mitigate liability risk in unauthorized financial transfers; considerations for employers as they develop policies regarding use of cannabis in their workforce; and the critical importance of escalation protocols in corporate whistleblower programs.

Six months after *Liu*: The SEC and disgorgement

28 January 2021

In the wake of *Liu*, several open questions are only now starting to work their way through the courts.

The missing link in whistleblower programs – the escalation protocols

28 January 2021

A fixed set of escalation protocols helps ensure that a whistleblower program functions efficiently.

Unauthorized financial transaction fraud: Mitigating liability risks

28 January 2021

Prudent financial institutions are seeking to protect themselves against liability for third-party fraud and accountholder carelessness.

Blockchain and Digital Assets News and Trends

22 January 2021

BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS

Looking at the OCC's guidance on stablecoins.

SEC invites comment on newly revealed 2011 proposal to conduct undercover investigations of criminal violations of securities laws

20 January 2021

Such an undercover program could be a game changer, increasing criminal prosecutions of securities fraud.

SCOTUS suggests expansive reach of "Bridgegate" ruling in directing Second Circuit to reconsider insider trading convictions

14 January 2021

Yet another example of the Supreme Court's continuing effort to trim the government's overly expansive theories of criminal liability in certain cases under the federal fraud statutes.

The new Anti-Money Laundering Act of 2020: A potential game-changer for enforcement and compliance

11 January 2021

The passage of the AMLA signals the start of a new era in money laundering enforcement in the US.

Supporting the health of your health system

4 January 2021

Helping you tend to healthcare system wellness throughout the business life cycle.

Blockchain and Digital Assets News and Trends

22 December 2020

[BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS](#)

New Jersey seeks to regulate digital asset business activity through a mandatory licensing framework.

When a threat actor strikes: Legal considerations and challenges in a ransomware attack

21 December 2020

Evidence suggests that having employees working remotely significantly increases the risk of a successful ransomware attack.

CFTC's annual enforcement report touts record-breaking year

16 December 2020

CFTC releases the annual report from its Enforcement Division, and expects to continue prioritizing four key areas.

New regional stay-at-home orders in California

9 December 2020

Employers are strongly encouraged to evaluate their compliance with current orders as of December 9, 2020, and prepare for additional restrictions.

Practical Compliance

8 December 2020

[PRACTICAL COMPLIANCE](#)

Q4 2020: Spotlight on real estate COVID-19 compliance.

California adopts emergency COVID-19 standards

1 December 2020

The emergency standards affect most companies with California-based employees.

Blockchain and Digital Assets News and Trends

23 November 2020

BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS

IMF issues report on regulatory framework for CBDs and GSCs, SEC invites feedback on application of custody rule to digital assets.

A new look at how enterprise risk management can get you home for dinner

9 November 2020

A well-run Enterprise Risk Management (ERM) program provides this clarity and ensures that you have the focus necessary to move your company, business unit, department or simply yourself forward in the most effective way.

Breathe in ... breathe out ... let the data flow

4 November 2020

In this article, we will walk through a fictitious fact pattern and use it to concretely demonstrate how to integrate data analytics and process flows into a program.

SEC roundtable highlights exam observations on Regulation Best Interest and Form CRS compliance

29 October 2020

Key guidance discussed during the roundtable.

Blockchain and Digital Assets News and Trends

21 October 2020

BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS

SDNY finds Kin token is a security; unpacking the DOJ's cryptocurrency guidance – plus latest legal, regulatory and case law developments.

Unpacking the DOJ's cryptocurrency guidance: Enforcement priorities and industry implications

15 October 2020

A warning to offshore cryptocurrency exchanges and other money services businesses operating outside of the reach of US authorities.

California legislation and recent stockholder derivative suits push for more board diversity

7 October 2020

California's latest diversity law follows a new wave of shareholder derivative actions attacking the lack of racial diversity in corporate leadership.

New Executive Order "Combating Race and Sex Stereotyping" – what federal contractors need to know

7 October 2020

The EO prohibits federal contractors, subcontractors and certain grant recipients from using "any workplace training that inculcates in its

employees any form of race or sex stereotyping or any form of race or sex scapegoating.”

California enacts consumer financial protection legislation and establishes the Department of Financial Protection and Innovation

5 October 2020

Along with the creation of California’s financial services regulator, this new legislation will greatly expand regulation of consumer financial services providers in California.

New York Department of Financial Services issues circular on climate change and financial risks

1 October 2020

The NYDFS expects insurers to start integrating the consideration of financial risks from climate change into their governance framework, risk management processes and business strategies.

SEC votes 3-2 to amend whistleblower rules

1 October 2020

The amended rules include an updated definition of "whistleblower" and a requirement that submissions must be provided in writing.

Shareholder Proposal Rule modernized – now what?

1 October 2020

A brief background of the Shareholder Proposal Rule, plus some action items for boards to consider as companies head into the 2021 proxy season.

eSignature and ePayment News and Trends

30 September 2020

[ESIGNATURE AND EPAYMENT NEWS AND TRENDS](#)

CFPB seeks to promote innovation by giving financial firms more opportunities and compliance flexibility to try new technologies, practices and methods – plus latest legal, regulatory and case law developments.

Blockchain and Digital Assets News and Trends

23 September 2020

[BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS](#)

The court finds that a valid arbitration agreement exists in the ongoing WAX tokens dispute – plus latest legal, regulatory and case law developments.

Seventh Circuit hews new path regarding False Claims Act dismissals; DOJ registers its disagreement

21 September 2020

A surprising result from the US Court of Appeals for the Seventh Circuit.

Key Reg S-K disclosure rules amended: Fundamental issues to consider in your next SEC filing

9 September 2020

The overarching theme of the amendments is the SEC's focus on issuer responsibility.

eSignature and ePayment News and Trends

2 September 2020

[ESIGNATURE AND EPAYMENT NEWS AND TRENDS](#)

Want to receive 4506-T documents electronically? Ensure you are addressing recent changes - plus latest legal, regulatory and case law developments.

SEC adopts changes to "accredited investor" definition

1 September 2020

Notable changes and practical considerations.

Slave-Free Business Certification Act proposes audit requirements for labor abuses in major company supply chains

27 August 2020

The legislation would require large companies to report on and root out forced labor in their supply chains.

Blockchain and Digital Assets News and Trends

21 August 2020

[BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS](#)

California appellate court affirms judgment for Coinbase in lawsuit over Bitcoin Gold – plus latest legal, regulatory and case law developments.

CCPA regulations take effect with a few minor changes

19 August 2020

The final approved CCPA regulations take effect immediately.

US moves forward on enhanced securities regulations focusing on Chinese companies

17 August 2020

Latest developments in US efforts to address the financial risks posed by emerging market companies.

Rule 26(g) certification means more than guide and advise: Key takeaways

12 August 2020

Sanctions were imposed on an attorney for failing to properly oversee the client's discovery process.

For the healthcare industry, seeking to incentivize restocking of elective surgery supplies may lead to civil and criminal risk

6 August 2020

Discounts and incentives may have unforeseen consequences under certain federal anti-bribery laws.

SEC announces Event and Emerging Risks Examination Team

3 August 2020

The Event and Emerging Risks Examination Team will engage proactively with financial firms regarding current market events and emerging threats.

National banks may provide cryptocurrency custody services – exchanges will soon face competition

30 July 2020

The OCC issues Interpretive Letter #1170.

Blockchain and Digital Assets News and Trends

20 July 2020

BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS

Court upholds New York AG's Martin Act authority to investigate virtual currency fraud – plus latest legal, regulatory and case law developments.

FINRA issues guidance on private placement retail communications

10 July 2020

RN 20-21 addresses third-party prepared materials, balanced presentations of risks and benefits and more.

Supreme Court approves SEC disgorgement with limits

9 July 2020

The decision appears to be a victory for the SEC 's ability to obtain disgorgement, but the Court recognized limitations on equitable disgorgement which may offer defendants some potential relief.

FCPA Resource Guide revisions signal DOJ focus on books and records and internal controls charges

8 July 2020

A key resource for companies and individuals operating internationally.

SEC issues risk alert on private fund abuses

8 July 2020

Activity by the Enforcement Division tends to follow OCIE's leadership on issues of concern.

***US v. Napout*: Second Circuit affirms convictions in FIFA foreign corruption case**

24 June 2020

A timely reminder that the risk of investigation and prosecution for foreign commercial bribery is very real and that the FCPA is not the only game in town.

Protecting the attorney-client privilege while under quarantine: Five tips for protecting attorney-client privilege when using online collaboration tools

22 June 2020

With the increase in remote working comes an increased opportunity for attorney-client privilege issues to surface.

Blockchain and Digital Assets News and Trends June 2020

18 June 2020

BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS

World Economic Forum announces Presidio Principles as a foundation of blockchain ecosystem design – plus latest legal, regulatory and case law developments.

Supreme Court will tackle issue of who determines arbitrability when a dispute involves arbitration carveouts

18 June 2020

This issue is currently dividing courts of appeals and state high courts.

World Economic Forum announces Presidio Principles as a foundation of blockchain ecosystem design

18 June 2020

WEF's foundational values for a decentralized future.

What does the revised DOJ Compliance Program Guidance mean for your business in a post-COVID world?

16 June 2020

Compliance programs are encouraged to consider risk-based methods to allocate budget and resources.

As COVID forces a telehealth boom, lawmakers weigh making certain emergency permissions permanent

12 June 2020

Some of the ways in which government actors have signaled openness to the possibility of longer-term telehealth solutions.

"Now you see it, now you don't": Ephemeral messaging may lead to sanctions

8 June 2020

A recent decision highlights one key risk of ephemeral messaging.

California AG posts final proposed CCPA Regulations and offers insights ahead of July 1 enforcement deadline

4 June 2020

With this final statement from the AG's Office, businesses can proceed to finalize their CCPA compliance programs.

US-based pharmaceutical manufacturing in response to COVID-19: new manufacturers face risks

3 June 2020

A rush to develop a new company to begin manufacturing is fraught with risk.

Chinese and other emerging market companies listed in the US face increased scrutiny from Congress and Nasdaq

27 May 2020

Within a span of two days, the US Senate, House and Nasdaq each took steps to safeguard investors in the US capital markets.

Mexico: New reporting regulations aim to combat financing of terrorism and illicit activities

27 May 2020

The resolution is part of Mexico's effort to combat terrorist financing and transactions based on resources that have illicit origins.

Blockchain and Digital Assets News and Trends

20 May 2020

[BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS](#)

California may limit application of securities laws to tokens, French court says bitcoins are fungible assets – plus latest legal, regulatory and case law developments.

California bill proposes limits on application of securities laws to tokens

20 May 2020

The proposed changes are likely to be well received by those considering issuing tokens.

SEC announces July 9, 2020 date for roundtable on emerging markets and China

20 May 2020

The SEC's next steps in raising investor awareness about the risks of investing in emerging markets.

COVID-19: Using technology to address compliance

13 May 2020

How can compliance routines be improved in a time of social distancing via technology?

Post-COVID-19 sustainability and ESG disputes: pinch points and practical pointers

12 May 2020

Where businesses are putting all of their efforts into crisis mitigation and survival in response to COVID-19, it is worth considering the importance of balancing short-term mitigation measures with the preservation of long term value and sustainability and ESG commitments

With unanimity comes clarity: In reversing Bridgegate convictions, a unanimous Supreme Court further narrows scope of federal fraud and corruption prosecutions

8 May 2020

The federal fraud statutes criminalize only deception targeting money and property, not other forms of chicanery, no matter how unscrupulous they might be.

SEC Chairman announces roundtable on emerging markets and China

7 May 2020

This continuing focus on investor protection is consistent with other key regulatory initiatives.

SEC's proposed new rule on valuation practices turns focus of funds and investment advisers to compliance programs

6 May 2020

Although new from a regulatory standpoint, the requirements of the SEC's proposed Fair Value Rule are not entirely novel.

What compliance programs can do now to prepare for operations in the new COVID-19 reality

5 May 2020

Anticipating changes in the ABAC and compliance landscape to prepare for the lifting of social distancing mandates that have required non-essential businesses to close.

Post-COVID-19 Sustainability and ESG disputes: human rights commitments and key legal risk during times of crisis

5 May 2020

Maintaining a consistent approach to sustainability and human rights is not just the right thing to do during the COVID-19 crisis, but an important consideration to mitigate medium and long-term legal risks

US securities regulators focus on China and emerging markets: Further risk and disclosure considerations are necessary

4 May 2020

Key takeaways for China-based US-listed companies.

Post-COVID-19: What to expect in the "next normal"

30 April 2020

Issues that are front of mind, based on an informal survey of some of the largest companies and most influential global business leaders.

COVID-19: Conducting internal investigations in remote work settings

24 April 2020

For companies conducting internal investigations or responding to an investigation, practical solutions in a time of distancing.

Coronavirus: Reopening businesses – compliance risks

24 April 2020

Companies looking to reopen are urged to do so in compliance with varying, changing government restrictions to avoid longer term liabilities that could potentially outweigh short term gains

Corporate commitment to compliance helps bank avoid FCPA charges despite alleged \$4.5M bribery scheme

24 April 2020

The SEC's complaint provides insight into what made the compliance program so effective that the individual's former employer avoided government sanctions.

Blockchain and Digital Assets News and Trends

23 April 2020

[BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS](#)

The FSB report on global stablecoin frameworks and related cryptoassets reflects views inside G20 governments – plus latest legal, regulatory and case law developments.

Investment adviser compliance in the COVID-19 pandemic – pay attention to valuation and strategy deviation issues

17 April 2020

Investment advisers still must comply with their obligations to maintain and implement fair pricing policies and procedures and follow their disclosed investment strategies.

COVID-19: A breeding ground for corruption – monitoring key risks

10 April 2020

US regulators are reminding US businesses that a crisis situation does not excuse a failure to address increased risks of bribery and corruption.

Cost-cutting considerations in the time of COVID-19 (Part 3 – employment issues outside the US)

7 April 2020

A deeper dive into various cost-saving measures and their viability for employers outside the US.

English and French law perspectives on which law applies to the arbitration agreement - Analysis following the English Court of Appeal decision in *Kabab-Ji v Kout*

7 April 2020

The English Court of Appeal's (the Court of Appeal) recent decision in *Kabab-Ji v Kout* confirms that when the parties have chosen a governing law which is said to apply to the entire or all of the terms of their contract, that governing law will apply to the arbitration agreement where the arbitration agreement does not include a separate governing law provision.

Coronavirus: Supplier due diligence for vetting Chinese medical suppliers for quality, safety, fair pricing and anti-corruption compliance

6 April 2020

Some key risks, and potential solutions to reduce cross-border operational risks.

COVID-19 essential businesses: Anti-bribery and anti-corruption risks

31 March 2020

Given the significant impact of being deemed non-essential, businesses and employees are incentivized to ensure their business is deemed essential by local authorities – and this can pose anti-bribery anti-corruption (ABAC) risks to companies.

Coronavirus: Warning from SEC on insider trading highlights importance of disclosure controls during the COVID-19 pandemic

31 March 2020

A statement on March 23 warned that the SEC would be on heightened alert for signs of insider trading and other misconduct that might harm investors.

US Antitrust enforcers issue joint statement on competitor collaboration amid COVID-19 pandemic

27 March 2020

[ANTITRUST AND COMPETITION: NOVEL ISSUES IN A POST-CORONAVIRUS WORLD](#)

The US Department of Justice and Federal Trade Commission issued a Joint Antitrust Statement Regarding COVID-19, in which they announced an expedited procedure for evaluating proposed collaborations among competitors and other businesses working to address the pandemic.

Blockchain and Digital Assets News and Trends

25 March 2020

[BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS](#)

The age of viral outbreaks – key contract considerations in a post-COVID-19 world, plus latest legal, regulatory and case law developments around blockchain and digital transformation.

***US v. Hoskins*: in setback for DOJ, court grants post-trial motion for acquittal on all FCPA counts**

27 February 2020

The decision calls into question DOJ's aggressive approach to a narrow but significant class of potential defendants in FCPA cases.

2020 Proxy Season Hot Topics: Part 1 – Ten tips for implementing SEC rule changes in your upcoming Form 10-K and proxy statement

25 February 2020

[PROXY SEASON HOT TOPICS](#)

Addressing new SEC rules and recent guidance in the 2020 proxy season.

Blockchain and Digital Assets News and Trends

19 February 2020

[BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS](#)

In this issue, SEC Commissioner Peirce proposes bold new safe harbor for digital tokens, plus the latest legal developments in blockchain technology, smart contracts and digital assets.

New obligations targeting human trafficking for employers in California – and across the US

11 February 2020

Employers across the United States should consider these new obligations and carefully determine what actions they may be required to take in the workplace.

DOJ dismisses last of the drug trafficking charges against FedEx: two key takeaways

5 JUL 2016

A sudden about-face from the DOJ.

CFTC announces its largest whistleblower award to date – key takeaways

2 MAY 2016

CFTC sends a clear message to commodities futures traders that it means to aggressively court tipsters who have information about possible violations of the CEA.

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

19 APR 2016

How well do you know your compliance program? 6 simple tools

13 JAN 2016

Companies are under increasing pressure to demonstrate to both the Audit Committee and, if necessary, regulators, that their compliance program is operational and effective. But how do you really measure that?

Mexico's new National Anticorruption System: 7 key points

20 JUL 2015

Constitutional reform regarding the creation of the National Anticorruption System

Third parties: 4 FCPA takeaways for working with distributors

24 SEP 2014

Four key challenges and related "cures"

CFTC approves final cross-border guidance of the swap provisions of the Dodd-Frank Act

12 JUL 2013

The Final Guidance aims to set forth the CFTC's policy on the application of the swap provisions of the Commodities Exchange Act to cross-border activities

European Commission and CFTC announce a path forward on cross-border regulation of OTC derivatives

11 JUL 2013
A high-level joint understanding

Events

Previous

False Claims and *Qui Tam* Summit for Life Sciences and Healthcare

24 September 2021
Webinar

Practical aspects of running an investigations program

18 May 2021 | 1:00 – 2:00 ET
Modern Compliance Officer MCLE webinar series
Webinar

Something to Report, an MCLE event

27 April 2021 | 9:00 - 10:30 ET
Webinar

Policing meal periods: The impact of *Donohue v. AMN Services* on California law and other high-risk wage and hour developments

23 March 2021 | 12:00 - 1:00 PT
Webinar

Strategic Management of Third-Party Risk: Creating the best speed to value while managing your control architecture

16 March 2021 | 1:00 - 2:00 ET
Modern Compliance Officer MCLE webinar series
Webinar

Applying adult learning principles to compliance training

21 January 2021 | 1:00 - 2:00 ET
Modern Compliance Officer MCLE webinar series
Webinar

CFTC enforcement updates

12 January 2021 | 1:00 - 1:30 EST
Webinar

The real risk is in not changing the process

2 November 2020 | 1:00 - 2:00 ET
Modern Compliance Officer MCLE webinar series
Webinar

You are here - how strategic process mapping and project management can get you to the finish line of an investigation

28 September 2020 | 1:00 – 2:00 ET
Modern Compliance Officer MCLE webinar series
Webinar

Transforming data flows into actionable insights

30 July 2020 | 11:00 - 12:00 ET
Modern Compliance Officer MCLE webinar series
Webinar

Big Data: Approaches to using it under the new DOJ Guidelines

16 July 2020 | 2:00 - 3:00 ET
Modern Compliance Officer MCLE webinar series
Webinar

Trading in times of unprecedented low oil prices:

28 May 2020 | 2:00 – 3:00 CT
Webinar

NEWS

DLA Piper joins with Duke, Mayo Clinic, UC Berkeley to launch innovative AI collaboration

21 December 2021
DLA Piper has joined with the Duke Institute for Health Innovation, the Mayo Clinic and UC Berkeley, among others, to launch an innovative collaboration designed to build an understanding of the AI software market and allow for its safe and responsible deployment, including of machine learning algorithms.

DLA Piper further strengthens global Government Affairs offering with Phil Hogan appointment

16 September 2021

DLA Piper has appointed the former European Commissioner, Minister and Member of the Irish Parliament, Phil Hogan, as a senior strategic and political advisor to the firm.

Antonio Tovo joins Campos Mello Advogados as a partner in the Corporate Criminal Law, Compliance and Cybersecurity practices

10 August 2021

DLA Piper announced today that Antonio Tovo has joined Campos Mello Advogados (CMA) as a partner in the Corporate Criminal Law, Compliance and Cybersecurity practices.

DLA Piper partner Scott Wilson named a *Law360* Compliance Rising Star

19 July 2021

DLA Piper is pleased to announce that partner Scott Wilson has been named a 2021 *Law360* Compliance Rising Star.

Brett Ingerman named to *Baltimore Business Journal's* Who's Who in Law 2021 list

14 May 2021

DLA Piper is pleased to announce that Brett Ingerman has been named to the *Baltimore Business Journals* 2021 Who's Who in Law list of noteworthy Baltimore-area legal professionals.

DLA Piper launches Aiscension to help detect and prevent cartel activity in collaboration with Reveal

15 March 2021

- New offering delivers cutting-edge technology from *Reveal* alongside DLA Piper's first-class legal know-how
 - Time and cost savings allow for companies to focus on detection
 - Faster, more effective and better value than traditional technology assisted and manual reviews
-

DLA Piper announces release of *Something to Report* film

6 October 2020

DLA Piper is pleased to announce the release of *Something to Report*, the third film in the firm's award-winning Compliance series.

DLA Piper's Jonathan Haray named 2020 Criminal Law Trailblazer by the National Law Journal

7 March 2020

DLA Piper is pleased to announce that Jonathan Haray, a Litigation partner in the firm's Washington, DC office, has been named by the *National Law Journal* as a 2020 Criminal Law Trailblazer.
