



# 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

## CONTACTOS

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Detecting and investigating  
potential misconduct



Remediating compliance issues

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## 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

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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

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### Publicações

#### **Anti-money laundering: Global perspectives and updates**

30 June 2022

Governments around the world are more determined now than ever to curb illicit financing in all forms.

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#### **France strengthens its whistleblowing regime: Focus on 3 key changes**

30 June 2022

The law not only transposes the EU whistleblowing directive into French law, strengthening the country's previous regime, but actually goes beyond the directive's requirements.

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#### **Germany: five key aspects multinationals should know about the Anti-Bribery and Anti-Corruption law**

30 June 2022

While Germany's Anti-Bribery and Corruption Law resembles its UK and US counterparts, it also poses unique risks.

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#### **Morocco: 5 hot compliance topics**

30 June 2022

In Morocco, the sanitary crisis has shaped the actions of regulators, who are paying particular attention to economic actors' compliance in five key areas.

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## Understanding how Thai law looks at bribery, gift-giving and appropriate controls

30 June 2022

Thailand's National Anti-Corruption Commission has issued guidelines for companies on internal control measures appropriate to prevent bribery; the country also regulates the giving of gifts or benefits to public officials.

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## *Dobbs v. Jackson Women's Health* : Implications for business of a post-Roe landscape

23 June 2022

*Dobbs* raises a number of important questions for companies and entities.

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## *Jarkesy v SEC*: Fifth Circuit vacates SEC decision – latest case questioning constitutionality of the ALJ process

1 June 2022

This case and others now moving through the courts tee up some important issues for those facing SEC administrative enforcement proceedings.

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

June 2022

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## Blockchain and Digital Assets News and Trends

23 May 2022

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

OECD releases public consultation document on crypto tax reporting in effort to increase transparency.

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## Puerto Rico updates guidance for the management of COVID-19 cases

19 May 2022

The new guidance is applicable to all employers in the public and private sectors.

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## 10 considerations for companies on the path to sustainability

11 May 2022

For boards of directors and management teams as they discuss measuring, disclosing and reducing the company's climate impact.

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## Blockchain and Digital Assets News and Trends

19 April 2022

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

Treasury report on money laundering and terrorist finance in the art trade looks at NFT marketplaces; FDIC issues new crypto-asset

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guidance and notification requirements.

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## **Blockchain and Digital Assets News and Trends**

18 March 2022

### **BLOCKCHAIN AND DIGITAL ASSETS NEWS AND TRENDS**

Biden EO aims to protect digital asset consumers; UK authorities seize NFTs; Ukraine receiving crypto donations.

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## **COVID-19 two years in: Four key trends in the state of compliance**

17 March 2022

### **PRACTICAL COMPLIANCE**

What it means to be compliant today is not what it meant in March 2020.

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## **US continues to escalate sanctions against Russia and Belarus**

4 March 2022

### **GLOBAL SANCTIONS ALERT**

White House announces new sanctions while putting in place extensive new export control measures against Russia and Belarus; DOJ announces Task Force KleptoCapture; OFAC closes some loopholes.

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## **Real estate transactions are FinCEN targets: far-reaching impact of two proposed rules**

2 March 2022

### **GLOBAL SANCTIONS ALERT**

A reminder of the Biden Administration's commitment to the fight against corruption and illicit finance in the US real estate market.

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## **New US sanctions in response to Russia's actions against Ukraine**

23 February 2022

### **GLOBAL SANCTIONS ALERT**

Additional sanctions are expected that will target Russia's financial, technology, and defense sectors.

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## **Being extorted? DOJ issues new FCPA guidance on the duress defense – but questions remain**

17 February 2022

Considerations for companies operating in high-risk environments.

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## **US Department of Justice, aided by cryptocurrency exchanges, seizes over US\$3.6 billion in stolen Bitcoin**

15 February 2022

This landmark seizure highlights law enforcement's growing ability to recover digital assets obtained in cybercrimes, and the importance

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of the private sector's role in helping to thwart unlawful activities involving cryptocurrencies.

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### **A whole new world: What Alibaba's record antitrust fine means for retailers**

7 February 2022

Arrangements between retailers and online platforms are currently subject to enhanced scrutiny by global competition authorities. Regulators are focusing in part on the extent to which retailers use online platforms to coordinate activities with competitors. But how do you ensure your business is compliant?

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### **SEC's "shadow trading" theory defeats motion to dismiss insider trading complaint**

1 February 2022

A significant expansion of the potential scope of insider trading enforcement under federal securities laws.

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### **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.

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### **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.

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### **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.

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### **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.

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## **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.

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## **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.

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## **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.

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## **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.

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## **EU Whistleblower Directive: Key provisions, SOX comparison and Actions for business**

June 2022

Recent scandals such as the Luxembourg Leaks financial scandal and the Panama Papers have highlighted the important role that whistleblowers can play in exposing breaches of EU law.

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## **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.

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## **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.

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## **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.

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### **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.

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### **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.

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### **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.

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### **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.

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### **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.

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### **Understanding securities enforcement**

7 April 2021

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

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### **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.

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### Top employee benefits issues to watch

31 March 2021

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

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### Representing individuals in interviews – the US perspective

30 March 2021

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

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### 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.

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### 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.

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### 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.

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### 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"?

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## **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.

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## **Expectations for white collar enforcement under the Biden Administration**

18 February 2021

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

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## **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).

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## **Defensible deletion: The proof is in the planning**

5 February 2021

A framework for making defensible deletion an attainable goal.

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## **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.

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## ***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.

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## **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.

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## **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.

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### **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.

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### **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.

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### **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.

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### **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.

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### **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.

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### **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.

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### **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.

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## Supporting the health of your health system

4 January 2021

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

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## 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.

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## 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.

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## 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.

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## 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.

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## Practical Compliance

8 December 2020

### [PRACTICAL COMPLIANCE](#)

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

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## California adopts emergency COVID-19 standards

1 December 2020

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

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## 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.

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### **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.

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### **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.

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

29 October 2020

Key guidance discussed during the roundtable.

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### **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.

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### **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.

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### **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.

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### **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.”

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### **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.

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### **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.

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### **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.

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### **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.

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### **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.

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### **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.

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### **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.

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## **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.

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## **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.

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## **SEC adopts changes to "accredited investor" definition**

1 September 2020

Notable changes and practical considerations.

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## **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.

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## **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.

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## **CCPA regulations take effect with a few minor changes**

19 August 2020

The final approved CCPA regulations take effect immediately.

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## **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.

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## **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.

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## **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.

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## **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.

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

30 July 2020

The OCC issues Interpretive Letter #1170.

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## **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.

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## **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.

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## **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.

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## **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.

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### **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.

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

5 JUL 2016

A sudden about-face from the DOJ.

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### **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.

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

19 APR 2016

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### **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?

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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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### **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

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cross-border activities

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

11 JUL 2013

A high-level joint understanding

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## Eventos

### Anteriores

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

24 September 2021

Webinar

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#### Practical aspects of running an investigations program

18 May 2021 | 1:00 – 2:00 ET

Modern Compliance Officer MCLE webinar series

Webinar

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#### *Something to Report*, an MCLE event

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

Webinar

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#### 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

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#### 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

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#### Applying adult learning principles to compliance training

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

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### **CFTC enforcement updates**

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

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### **The real risk is in not changing the process**

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

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### **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

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### **Transforming data flows into actionable insights**

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

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### **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

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## **NOTÍCIAS**

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### **DLA Piper's Deborah Meshulam and Michael Fluhr co-edit ABA book on Cryptocurrency and Digital Asset Regulation**

12 April 2022  
DLA Piper is proud to announce that Deborah Meshulam and Michael Fluhr have co-edited the book *Cryptocurrency and Digital Asset Regulation: A Practical Guide for Multinational Counsel and Transactional Lawyers*.

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## **DLA Piper announces new practice leadership**

18 February 2022

DLA Piper is pleased to announce several changes to sub-practice leadership in its Finance, Corporate, Private Equity, Regulatory and Government Affairs, and Litigation practices.

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## **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.

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## **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.

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## **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.

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## **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.

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## **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.

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## 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
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## 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.

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