



Katrina A. Hausfeld

Partner

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Katie Hausfeld focuses her practice on corporate investigations and compliance, white-collar criminal matters and complex civil litigation.

Katie regularly advises both US and multinational companies in connection with investigations and enforcement actions conducted by the US Department of Justice, the US Securities and Exchange Commission, the World Bank, and other enforcement agencies. She has conducted numerous investigations around the world related to a broad range of issues including allegations of accounting manipulation, fraud, corruption, bribery, money laundering, environmental compliance, insider trading, bid rigging, conflicts of interest, business email compromise, executive misconduct, and sexual discrimination. She also counsels her clients in relation to matters involving asset tracing and recovery.

As a compliance advisor, Katie assists her clients in designing and implementing risk-based compliance programs that meet the ever-evolving expectations of global regulatory and enforcement agencies, including compliance with the Foreign Corrupt Practices Act and other anti-corruption regulations. These enterprise-wide programs include conducting risk assessments, drafting codes of conduct and other corporate policies, advising clients on whistleblower issues, and creating and implementing training programs. In addition, Katie performs anti-corruption and anti-money laundering compliance due diligence for acquisitions, joint ventures and other transactions. Katie is also a Certified Anti-Money Laundering Specialist.

As part of her commercial litigation practice, Katie has represented clients in a variety of complex commercial litigation disputes in both federal and state courts and before the American Arbitration Association. Katie also has experience with direct defense of aging services facilities in lawsuits asserting professional liability, personal injury, negligence, elder abuse, wrongful death and other related claims.

- Litigation, Arbitration and Investigations
- White Collar and Corporate Crime
- Global Governance and Compliance
- Investigations

Russisch

LANGUAGES SPOKEN

- Russisch

Katie's recent representations have included:

- Advising a security services company on the integration of its global compliance program in connection with a transformational acquisition.
- Conducting a detailed assessment of a Fortune 500 manufacturing and fuel company's compliance program and advised on the re-design and implementation of its updated global compliance program.
- Conducting a post-acquisition enterprise-wide risk assessment for a global services provider.
- Designing and conducting anticorruption risk assessment for US-based services provider across its US, UK and Latin American operations.
- Advising global information technology solutions company on the development and build out of a risk-based compliance program.
- Advising a company immediately prior to initial public offering regarding development and implementation of its code of conduct, key compliance policies and third-party diligence capability build out.
- Assisting a global manufacturer with an internal investigation regarding improper sales practices in Asia.
- Representing a financial services company in an investigation conducted by the SEC regarding a fraud committed by a client.
- Conducting an investigation of whistleblower allegations of theft and corruption involving the Latin American operations of a US-based industrial products company.
- Representing a healthcare company executive in an investigation conducted by the DOJ and SEC regarding FCPA violations in Africa.
- Assisting a global manufacturer with an internal investigation regarding conflict of interest issues.
- Conducting an investigation into allegations of fraud, corruption, theft, money laundering and environmental issues for a US-based global services company relating to its European operations.
- Representing an industrials company in connection with a World Bank investigation into allegations of fraud and bribery associated with World Bank-financed projects in Africa.
- Representing the audit committee of a pharmaceutical company in an investigation conducted by the SEC into financial reporting, books and records, and internal controls violations.
- Assisting a Fortune 500 health care company with an internal investigation into whistleblower allegations of sales manipulation, channel stuffing, and other potential misconduct in Latin America.
- Representing a global industrials company in an investigation conducted by the SEC into allegations of insider trading, financial reporting, books and records, and internal controls violations.
- Conducting an investigation into allegations of theft, financial control failures and accounting deficiencies in the European operations of an energy distribution company.
- Assisting financial services companies in tracing and recovering fraudulently transferred assets across Europe, the Middle East and Asia.
- Representing major audit firms and individual auditors before the SEC, PCAOB and DOJ, in matters involving audit irregularities and alleged fraud at the audit client.

VITA

- Illinois

Berufserfahrung

Prior to entering the practice of law, Katie worked in the Offices of Global Communications and Correspondence at The White House and at a foreign policy think tank, with a focus on US-Russia relations.

Empfehlung

- *Chambers USA*
 - Band 3. Illinois Litigation: White-Collar Crime & Government Investigations (2022)

- Who's Who Legal Future Leader in Investigations (2022)
- Named to *Crain's Chicago Business's* Notable Women in Law (2020)

Ausbildung

- J.D., University of Illinois College of Law
cum laude
Rickert Award for Excellence in Advocacy
- B.A., International Relations, Boston University

Courts

- United States District Court for the Northern District of Illinois
- Trial Bar, United States District Court for the Northern District of Illinois
- United States Court of Appeals for the Seventh Circuit

Mitgliedschaften

- Women in White Collar Defense Association
- Chicago Inn of Court
- American Bar Association
- Chicago Bar Association

Licenses and Certifications

- Certified Anti-Money Laundering Specialist

AKTUELLES

Publikationen

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.

The Global Crackdown on Money Laundering

15 June 2022

Governments and corporations in the world's major financial centres have long talked tough on anti-money laundering (AML), but their actions have not always shared the force of their words.

The EU Whistleblower Directive is in effect – what should we do now?

23 February 2022

The EU Directive goes beyond the US regime, compelling member states to introduce laws that are different and more stringent, and impacting not how allegations of corruption are *reported*, but how they are *investigated*.

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.

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.

- Co-author, "Real Estate Transactions Are FinCEN Targets: Far-Reaching Impact of Two Proposed Rules," *The Banking Law Journal*, Volume 139 Number 5, May 2022
- Co-author, "Securities & Related Investigations: USA," *Global Investigations Review*, February 2021
- Co-author, "Managing Third-Party Relationships in Light of the US Government's Continuing Commitment to Investigate and Prosecute Foreign Corruption: The Best Defense is a Good Offense," *Nieuwsbrief Bedrijfsjuridische berichten*, 29 Dec 2017
- Co-author, "DOJ launches new FCPA pilot program to encourage voluntary self-disclosure of misconduct: key takeaways," *DLA Piper White Collar Alert*, April 6, 2016
- Co-author, "Global Business Necessitates the Lens of Global Compliance," *For The Defense*, June 2015
- Author, "Ethical Concerns and Best Practices in Cross-Border Internal Investigations," *ABA Commercial & Business Litigation Committee*, February 23, 2015

Seminare und Veranstaltungen

Vergangene

Whistleblowing laws of Europe

14 March 2022

Webinar

The Impact of the EU Whistleblowing Protection Directive on Global Employers

17 November 2021

Webinar

- "Whistleblowing laws of Europe," Lexology Webinar (December 17, 2021)
- "Building a culture of compliance," DLA Piper Podcast (February 24, 2021)

NEWS

MEDIA MENTIONS

- "How I Made Partner: 'Be Patient. What Seems Like a Detour Might Be an Opportunity,' Says DLA Piper's Katie Hausfeld," *Law.com*,

January 8, 2021