



Katrina A. Hausfeld

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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.

LÍNGUAS

- Russian

- Contencioso, Arbitragem e Investigações
- White Collar and Corporate Crime
- Global Governance and Compliance
- Investigations

Russian

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.

CREDENCIAIS

Admissões

- Illinois

Experiência anterior

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.

Reconhecimentos

- *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)

Formação

- 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

Associações Profissionais

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

Licenses and Certifications

- Certified Anti-Money Laundering Specialist

INSIGHTS

Publicações

Assisting Georgia with Climate Change Negotiations

6 July 2022

New Perimeter provides assistance to the Government of Georgia's Ministry of Environment and Natural Resources Protection to support the country's participation in international climate change negotiations.

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.

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.

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.

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*.

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

Understanding securities enforcement

7 April 2021

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

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.

SEC Division of Examinations announces 2021 exam priorities

9 March 2021

The priorities provide insight into the Division's risk-based approach to examinations and the areas it believes present potential risks to investors and the US capital markets.

Expectations for white collar enforcement under the Biden Administration

18 February 2021

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

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 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.

Congress expands SEC enforcement authority, broadens disgorgement powers and doubles statute of limitations periods

6 January 2021

Buried deep in the annual defense bill is an important group of securities law amendments that strengthen the SEC's enforcement powers.

- 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

Eventos

Anteriores

Whistleblowing laws of Europe

14 March 2022

Webinar

Biden's fight against Corruption: the impact of the Anti-Money Laundering Act of 2020

17 February 2022 | 1:00 - 2:00 pm EST
Webinar

The Impact of the EU Whistleblowing Protection Directive on Global Employers

17 November 2021
Webinar

Driving Diversity in Law & Leadership

19 May 2021 | 11:15 - 12:00 CT
Driving Diversity in Law & Leadership
Webinar

Applying adult learning principles to compliance training

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

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

NOTÍCIAS

DLA Piper announces its 2021 North American Pro Bono Award winners

24 February 2022

DLA Piper's lawyers and staff are committed to promoting access to justice by providing their time, talent and energy to those who cannot afford to hire a lawyer. Recognizing the significant contributions and tremendous impact of this work, DLA Piper is pleased to announce the seven recipients of the firm's 2021 North American Pro Bono Awards.

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.

Katie Hausfeld and Kerry Johnson named to *Crain's Chicago Business* Notable Women in Law list

8 September 2020

DLA Piper is pleased to announce that Katie Hausfeld and Kerry Johnson have been named to *Crain's Chicago Business's* Notable Women in Law list.

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

PRO BONO

Katie's has assisted pro bono clients in such diverse areas as immigration concerns, prisoners' rights, and international human rights. For many years, she has supported the Georgian delegation at the annual Conference of the Parties under the United Nations Framework on Climate Change, including negotiating on behalf of Georgia at COP26 in 2021. She has also helped to conduct trial advocacy training for police prosecutors throughout the Caribbean and in Guyana through DLA Piper's New Perimeter Program in conjunction with the National Center for State Courts.

Along with several of her colleagues, Katie received the 2019 Award for Excellence in Pro Bono Service from the United States District Court for the Northern District of Illinois, in conjunction with the Chicago chapter of the Federal Bar Association, in recognition of their representation of two boys who were separated from their parents after crossing the US-Mexico border to seek asylum in the United States. DLA Piper and co-counsel, who were also recognized, successfully challenged the decision of the US government to separate the boys, who were 16 and nine years old, from their fathers. The families were reunited after more than six weeks of separation.

Katie also received DLA Piper's 2022 North American Pro Bono Award.