

MORRISON  
FOERSTER



**GLOBAL  
COMPLIANCE**

We are Morrison & Foerster — a global firm of exceptional credentials. We have appeared in *Financial Times*’ “Most Innovative Law Firms” in both North America and Asia every year since the rankings’ inception. Our clients are some of the largest and most well-known organizations in the world including Fortune 100 companies in the health care, life sciences, and technology sectors. Our lawyers are committed to achieving innovative and business-minded results for our clients, while preserving the differences that make us stronger.

The past two decades have seen an evolution in how companies do business and how governments regulate business activities. Rapid changes in technology have also enabled companies to grow beyond their original borders, and many historically local and regional businesses are now operating globally. At the same time, cross-border government regulation and oversight have increased and grown more complex in response to the threat of terrorism, the global credit crisis, the increase in data privacy and cybersecurity threats, and shifting migration patterns. Today, companies need to comply with increasingly complex (and often seemingly contradictory) rules and regulations around the globe.

At Morrison & Foerster, our global compliance team works with clients to find innovative and realistic solutions to manage compliance risks in this dynamic environment. With a network of lawyers located in major business centers across the United States, Asia, and Europe, we provide seamless advice on the global compliance challenges facing companies today. Clients benefit from the unparalleled experience and diversity of our team, which includes leading trial attorneys, former federal prosecutors, former senior government officials, privacy experts, fraud examiners, regional and local experts, and others with a deep understanding of the challenges of operating globally.

## CHARACTERISTICS OF EFFECTIVE COMPLIANCE PROGRAMS

What are the characteristics of an effective compliance program? An international standard has emerged based on policy statements by organizations around the world, including the DOJ, SEC, SFO, and the OECD. With attorneys at MoFo who helped author some of those policies, we have deep insights into the most critical characteristics of an effective compliance program:

1. Culture of compliance and commitment from senior management
2. Code of conduct and clear compliance policies, procedures, and protocols
3. Oversight, autonomy, and resources
4. Formal risk profile evaluations
5. Training and continuing advice
6. Incentives and disciplinary measures
7. Third-party due diligence
8. Confidential reporting and internal investigations
9. Pre-acquisition due diligence and post-acquisition integration in mergers and acquisitions
10. Periodic review of compliance programs and policies

# OUR GLOBAL IMPACT

Through our network of **16 offices** located in business centers across **Asia, Europe, and the United States**, we have advised companies and individuals on compliance matters in more than **140 countries**.

---

Beijing Berlin Boston Brussels Denver Hong Kong London  
Los Angeles New York Palo Alto San Diego San Francisco  
Shanghai Singapore Tokyo Washington, D.C.





# OUR APPROACH

We approach compliance challenges in an integrated, global, and holistic manner to help you create and implement an effective compliance program.

At the outset, we perform a customized risk assessment to ensure your business has the right compliance programs in place. Our global compliance lawyers determine the areas where your company has potential exposure. We'll also examine your existing policies, procedures, and training programs and identify any deficiencies that need to be remedied.

Based on our risk assessment, we help companies develop and implement tailored improvements to their compliance programs. Depending on the particular needs of the company, this may include detailed codes of conduct and specific policies, procedures, and compliance auditing, among other issues. We also can benchmark your company's performance against that of peer companies, which helps us identify areas where your company could face greater scrutiny from regulators. In addition, we create plans for testing and monitoring the effectiveness of your company's internal compliance programs.

Even the most experienced compliance professionals and in-house counsel with sophisticated compliance programs occasionally confront unique circumstances or events. In those situations, we provide real-time compliance-related analysis and advice drawing upon our unparalleled experience and insights. For some of the world's largest companies, we serve as their go-to compliance counsel to provide timely advice in challenging situations, either prospectively or after an issue has been discovered. We pride ourselves on being responsive, practical, and measured in our advice. In addition, in the event of a potential violation, our team regularly works with boards and senior executives to address and evaluate matters quickly and constructively, including conducting internal investigations, developing an effective remediation strategy, and defending the company before government agencies across the globe.

---

**“They are extremely business-minded and wonderful partners. They are efficient, effective and provide actionable advice.”**

*— Chambers USA 2018*

## ANTI-CORRUPTION

We have a deep bench of knowledge and a worldwide network of resources across the globe.

Our anti-corruption team includes former federal prosecutors and regulators, veteran career defense attorneys, and seasoned regional experts, as well as former high-ranking officials from the U.S. Department of Justice's Foreign Corrupt Practices Act (FCPA) Unit. They bring with them legal experience in the United States, Latin America, Europe, and Asia-Pacific, including in some of the world's most challenging markets in Africa, Asia, Eastern Europe, Latin America, the Middle East, and Russia.

In addition to providing real-time practical advice about novel risks, we conduct risk assessments; design, test, and implement anti-corruption compliance programs; train board members, senior managers, and employees; and perform risk-related third-party and transactional diligence.

If potential problems arise, our team can be rapidly deployed to conduct internal investigations, defend against enforcement actions, and provide individual representation.

“

**“Best in class in the area of anticorruption investigations, they take an effective, practical, risk-based approach to challenging matters.”**

**– Chambers USA 2019**

”

## ANTI-MONEY LAUNDERING

Regulators continuously scrutinize financial transactions in the fight against money laundering. Even with procedures in place, banks, companies, and individuals can find themselves in law enforcement's spotlight. Our anti-money laundering team is known for its practical experience, creativity, and adaptability. Your company can rely on us to assist companies with complying with and navigating international and regional anti-money laundering regimes.

When regulators launch an investigation, clients benefit from our long-standing relationships with officials at the Department of Justice, state attorney general's office, and the Office of Foreign Assets Control, as well as state and federal bank examiners. Our team also has experience working with officials responsible for administering and enforcing anti-money laundering programs in Europe and Asia. We also have experience representing individual employees in these matters.

## ANTITRUST/CARTELS

Our antitrust and cartel clients benefit from our team's 30 years of experience, including the resolution of cartel proceedings before the U.S. Department of Justice, the European Commission, and authorities in EU member states, Japan, Brazil, Australia, New Zealand, Canada, Singapore, and South Korea. We understand the nuances of leniency policies and the unwritten practices of enforcers. We also know private claimants counsel and how they approach their claims.

We view collaboration as key, and we will work with you to develop the most effective strategy possible. When a soft approach makes sense, we work with you in cooperating with enforcers and claimants. When a full-blown defense is the best solution, we can fight and take your case to court, if necessary.

If your company is contemplating a merger, acquisition, or joint venture, we can represent you in merger control proceedings. In Europe, we have significant experience handling investigations at the intersection of intellectual property and antitrust law, as well as the regulations affecting the technology, media, and telecommunications sector.

“

**“I have never worked with a more responsive and hard-working team”**

**– Chambers USA 2020**

”

## EXPORT CONTROLS AND SANCTIONS

Companies of all sizes — from start-ups just entering the global market to multinational corporations with worldwide operations — face export control and sanctions risk.

With lawyers in North America, Europe, and Asia, we can bring together integrated, multijurisdictional legal teams, and simultaneously counsel on the application of U.S., EU, Japan, China, and Hong Kong law to complex cross-border transactions that could trigger potential sanctions. We help global organizations structure policies, operations, and international transactions, while also responding to potential violations as they arise. Often, it is necessary to assist a client in dealing with an inadvertent sanctions or export control violation or with defending against an investigation or enforcement action.

With respect to possible sanctions or an export violation uncovered by the client, we assist in undertaking a thorough review to evaluate whether, in fact, a violation has occurred. As part of this exercise, we often conduct an internal audit to determine how the transaction was effected and develop safeguards to prevent any further violations from occurring. Once the facts are established, we develop, with the client, an appropriate disclosure of the violation to the relevant enforcement agency, if warranted, and appropriate remedial measures to prevent future violations. We also advise clients in defending against enforcement actions. Given our long history in this area, we have an effective working relationship with the regulator/regulatory licensing, compliance, and general counsel staff and can call upon these contacts to address (often on a “no names” basis) the gray areas that arise in the implementation of various sanctions.

## GLOBAL RISK + CRISIS MANAGEMENT

In today's ever-evolving and interconnected business world, companies must anticipate myriad risks associated with complex regulatory environments, competing and rapidly changing privacy and data security requirements, and insider theft and misconduct. Failure to prepare for crises related to any of these risks can expose a company's directors and officers to liability and adversely affect the company's brand, reputation, and bottom line.

Our interdisciplinary Global Risk & Crisis Management Group provides critical advice that modern businesses need to anticipate and respond to any crisis. Our lawyers have decades of collective

experience, across industries, successfully guiding clients through crises of the highest levels, including: cybersecurity threats, national security threats, white-collar criminal investigations, enforcement actions, SEC counseling, and compliance.

“Morrison & Foerster LLP is called upon to represent corporate and individual clients in a range of investigations and criminal matters - particularly those with cross-border elements”  
— *The Legal 500* 2019

## INTERNAL INVESTIGATIONS

Time is of the essence when conducting an internal investigation. Early and assertive crisis management can increase a company's credibility with regulators and prosecutors. From global investigations to more discrete local reviews, we can quickly deploy the right team to handle the matter efficiently. Where we do not have offices, we team with a network of trusted local counsel.

We have experience guiding in-house teams on small matters, as well as managing major cross-border investigations that require coordination of strategy in multiple jurisdictions simultaneously.

If the internal investigation identifies violations, we have experience negotiating with and litigating against government agencies around the world, including the European Commission, UK Financial Conduct Authority, UK Competition and Markets Authority, Office of Communications, UK Medicines Healthcare Regulatory Authority, UK Environment Agency, UK Health and Safety Executive, U.S. Securities and Exchange Commission, U.S. Department of Justice,

“Popular choice of counsel for US-based and international corporations under investigation by multiple regulators, drawing on strength in areas such as FCPA, insider trading and sanctions violations.”  
— *Chambers USA* 2018



the Securities and Futures Commission of Hong Kong, and the Japanese Financial Services Agency, among others.

## INSIDER TRADING

Companies under investigation for insider trading, market manipulation, or other types of securities fraud turn to us because we have extensive experience handling government investigations and litigating SEC enforcement actions. Working with clients spanning many industries, we have defended companies and individuals facing investigations and enforcement proceedings brought by the SEC, DOJ, U.S. Commodity Futures Trading Commission, and other regulatory bodies.

Our insider trading lawyers create corporate policies and procedures to help your company avoid liability for employee

data that is contained on those systems. Data breaches erode customers' and shareholders' trust, expose the company to criminal and civil penalties, and can ultimately destroy a business.

Some of the largest multinational companies have selected us as their privacy and cybersecurity counsel because of our practical approach. We take a big picture view of how organizations handle information during its life cycle and help them find common-sense solutions to seemingly complex problems. Our skills are particularly valued by companies in highly regulated sectors, companies operating internationally, and companies facing regulatory scrutiny or litigation.

We advise clients on local and cross-border data protection and privacy strategies, working to find solutions to complex and often conflicting legal obligations.

Having interacted with regulators around the world, we are familiar with data protection laws in every jurisdiction. We understand the varying cultural and legal norms surrounding them. That's why our full-service approach to privacy and cybersecurity — which covers every aspect of privacy and data security in every country in the world — is unmatched.

“Clients describe the team as ‘very professional and responsive,’ and ‘able to connect quickly, efficiently and globally.’”  
— *Chambers USA 2020*

misconduct and train employees on these policies. We also counsel executives on trading strategies, as well as the design and disclosure of Rule 10b5-1 plans.

## PRIVACY AND CYBERSECURITY

One of the greatest modern threats to any organization is the security of its technological hardware and the mission-critical

“Their work has been outstanding; we go to them with difficult issues and when we need exceptional analysis, and they are always good.”  
— *Chambers USA 2019*

## Industry Experience

- Aerospace
- Agriculture
- Automotive
- Consulting and Professional Services
- Consumer Products
- Defense
- Energy
- Entertainment/Media
- Financial Services
- Gaming
- Hospitality
- Infrastructure and Construction
- Manufacturing
- Mining
- Pharmaceutical, Health Care, and Medical Devices
- Real Estate
- Retail and E-Commerce
- Semiconductors
- Technology
- Telecommunications and Mobility
- Transportation/Logistics



# CONTACT US

## Global Leadership

---



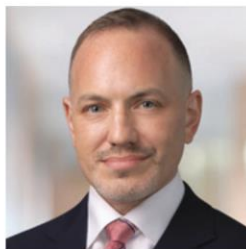
**Stacey M. Sprenkel**

San Francisco  
Global Chair of  
Ethics + Compliance  
+1 (415) 268-6040  
ssprenkel@mofo.com



**Haley Ichilcik**

London  
Europe Regional Lead of  
Ethics + Compliance  
+44 (20) 79204104  
hichilcik@mofo.com



**Daniel P. Levison**

Singapore  
Asia Regional Lead of  
Ethics + Compliance  
+65 6922 2041  
dlevison@mofo.com

## United States

---



**Charles L. Capito III**

Washington, D.C.  
National Security  
Sanctions + Export Controls  
+1 (202) 887-1683  
ccapito@mofo.com



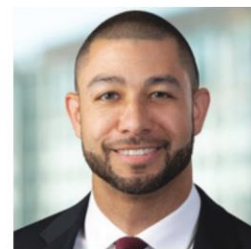
**Jina Choi**

San Francisco  
Internal Investigations  
Risk + Crisis Management  
+1 (415) 268-6274  
jchoi@mofo.com



**Carrie Cohen**

New York  
Anti-Corruption  
Internal Investigations  
+1 (212) 468-8049  
ccohen@mofo.com



**Michael V. Dobson**

Washington, D.C.  
National Security  
Sanctions + Export  
Controls  
+1 (202) 887-1512  
mdobson@mofo.com



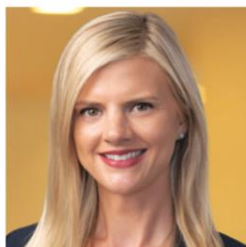
**Demme Doufekias**

Washington, D.C.  
Anti-Corruption  
Internal Investigations  
+1 (202) 887-1553  
ddoufekias@mofo.com



**Charles E. Duross**

Washington, D.C.  
Anti-Corruption  
Internal Investigations  
+1 (202) 887-1576  
cduross@mofo.com



**Megan Gerking**

Washington, D.C.  
Antitrust/Cartels  
+1 (202) 887-6948  
mgerking@mofo.com



**Marc-Alain Galeazzi**

New York  
Financial Services  
+1 (212) 336-4153  
mgaleazzi@mofo.com

## United States (Cont.)

---



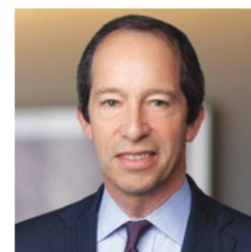
**Joshua Hill, Jr.**  
San Francisco and New York  
Anti-Corruption  
Internal Investigations  
+1 (415) 268-6462 or  
+1 (212) 336-8462  
jhill@mofo.com



**James M. Koukios**  
Washington, D.C.  
Anti-Corruption  
Internal Investigations  
+1 (202) 887-1590  
jkoukios@mofo.com



**Robert S. Litt**  
Washington, D.C.  
National Security  
Internal Investigations  
+1 (202) 887-1588  
rlitt@mofo.com



**Carl H. Loewenson, Jr.**  
New York  
Anti-Corruption  
Insider Trading  
+1 (212) 468-8128  
cloewenson@mofo.com



**Christine E. Lyon**  
Palo Alto  
Privacy + Cybersecurity  
+1 (650) 813-5770  
clyon@mofo.com



**Kristen J. Mathews**  
New York  
Privacy + Cybersecurity  
+1 (212) 336-4038  
kmathews@mofo.com



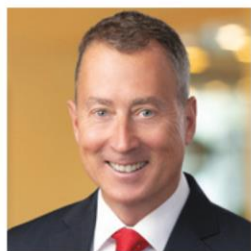
**Barbara Mendelson**  
New York  
Anti-Money Laundering  
+1 (212) 468-8118  
bmendelson@mofo.com



**Lisa Phelan**  
Washington, D.C.  
Antitrust/Cartels  
Internal Investigations  
+1 (202) 887-1509  
lphelan@mofo.com



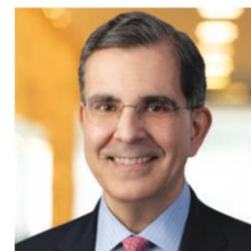
**Tina D. Reynolds**  
Northern Virginia  
Government Contracts  
+1 (703) 760-7701  
treynolds@mofo.com



**John Smith**  
Washington, D.C.  
National Security  
+1 (202) 887-1514  
johnsmith@mofo.com



**Ruti Smithline**  
New York  
Anti-Corruption  
Insider Trading  
+1 (212) 336-4086  
rsmithline@mofo.com

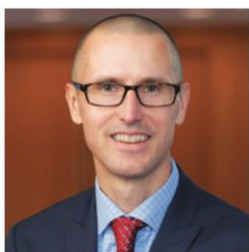


**Nicholas J. Spiliotes**  
Washington, D.C.  
National Security  
+1 (202) 887-1579  
nspiliotes@mofo.com



## United States (Cont.)

---



**Nathan D. Taylor**  
Northern Virginia and  
Washington D.C.  
Privacy + Cybersecurity  
+1 (202) 778-1644  
ndtaylor@mofo.com



**Alex Ward**  
Washington, D.C.  
Federal Procurement  
Internal Investigations  
+1 (202) 887-1574  
alexaward@mofo.com



**Christine Y. Wong**  
San Francisco  
Internal Investigations  
+1 (415) 268-6105  
christinewong@mofo.com



**Miriam H. Wugmeister**  
New York  
Privacy + Cybersecurity  
+1 (212) 506-7213  
mwugmeister@mofo.com

## Asia

---



**Timothy W. Blakely**  
Hong Kong  
Anti-Corruption  
Internal Investigations  
+852 2585 0870  
tblakely@mofo.com



**Rony P. Gerrits**  
Tokyo  
Antitrust/Cartels  
+81 33214 6522  
rgerrits@mofo.com



**Sherry Xiaowei Yin**  
Beijing  
Antitrust/Cartels  
Anti-Corruption  
+86 1059 093566  
syin@mofo.com



**Daiske Yoshida**  
Tokyo  
Antitrust/Cartels  
+81 33214 6522  
dyoshida@mofo.com

## Europe

---



**Saqib Alam**  
London  
Anti-Corruption  
+44 (20) 79204177  
saqibalam@mofo.com



**Paul Friedman**  
Managing Partner, Europe  
Anti-Corruption  
Internal Investigations  
+44 (20) 79204006  
pfriedman@mofo.com



**Annabel Gillham**  
Brussels  
Employment + Labor  
Privacy and Cybersecurity  
+44 (20) 79204147  
agillham@mofo.com



**Lokke Moerel**  
Berlin  
Privacy + Cybersecurity  
+49 30 7262-21278  
lmoerel@mofo.com



## Europe (Cont.)

---



**Gareth Rees QC**

London

Litigation

+44 (20) 79204103

grees@mofo.com



**Patrick Spaeth**

Berlin

Corporate, Compliance, and  
Investigations

+ 49 30 72622-1344

pspaeth@mofo.com



**Roland Steinmeyer**

Berlin

Corporate, Compliance, and  
Investigations

+ 49 (30) 726221228

rsteinmeyer@mofo.com



**Alex van der Wolk**

Berlin

Privacy + Cybersecurity

+44 (20) 79204074

avanderwolk@mofo.com