



C L I F F O R D
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REGULATORY ENFORCEMENT, INVESTIGATIONS
AND WHITE COLLAR

WE GUIDE CLIENTS THROUGH THEIR US AND GLOBAL REGULATORY OBLIGATIONS

We regularly assist the world's leading businesses in responding to regulatory challenges. Our global network provides an exceptional foundation for handling major cross-border matters.

Our global regulatory enforcement, investigations and white collar practice focuses on addressing the highest risk regulatory and compliance matters for our clients. We are able to assemble teams of experts who have the skills and experience to help clients manage the significant legal, commercial and reputational risks that are often associated with regulatory enforcement and criminal investigations. We are known and respected by regulators and industry groups across all major financial centers.

We have experience in all the key areas of business and financial services regulation. We cover the key areas of potential criminal liability, including corruption, antitrust, money laundering, fraud, insider trading and market manipulation, export controls and international economic sanctions. We also handle major cross-border litigation, including cases that have parallel regulatory actions.

Our clients in these fields include leading global businesses and financial institutions, executive and public officials, professional bodies, governments and international organizations.

Band 1

**Ranked in Band 1 for
Financial Services
Contentious Regulatory
by Chambers UK 2018
and Financial Services
(Contentious) by Legal
500 2017**

OUR CAPABILITIES

We provide an integrated service across our network of offices, and our lawyers work as one team regardless of location.

We combine first class local expertise with a cross-border team that can manage complex multi-jurisdictional projects. We have represented leading clients in proceedings involving law enforcement agencies, regulators, and other investigators in the US, the EU, the Middle East and Asia.

The team includes former regulators and prosecutors from many different agencies around the world, including the US Department of Justice (DOJ), US Federal Reserve, Securities and Exchange Commission (SEC), New York State Department of Financial Services (DFS), Department of Commerce, and the Commodity Futures Trading Commission (CFTC).

Regulatory investigations of all forms increasingly involve complex financial issues. We have the advantage of being supported by an experienced in-house team of specialist regulatory lawyers, accountants and financial analysts, who assist us and clients efficiently to retrieve, manage, analyze and present the relevant financial information and issues.

Financial Services Regulatory Advice

Our team assists our financial services clients navigate the impact of domestic and international regulation to achieve their strategic objectives and manage risk. We cover the full range of investment and commercial banking, asset management, insurance and retail financial services. Our lawyers combine a thorough understanding of the US and global regulatory framework and financial markets with a practical approach, enabling them to provide the comparative analysis required by our international clients. We advise major US and international financial institutions in all areas from product development, regulatory advice, and corporate and transactional assistance, to risk management and compliance programs.

Our global team is recognized among the top 10 firms in the 2017 Global Investigations Review's prestigious GIR 30 listing of the world's leading investigations practices.

“Strong enforcement practice, bolstered by a notable group of former federal prosecutors. Extensive global platform sees it frequently retained in cross-border proceedings.”

“Clifford Chance has put together a really first-rate team that is highly regarded in the city.”

Chambers USA 2017: Litigation White Collar Crime & Government Investigations

OUR CAPABILITIES CONTINUED

Criminal investigations and prosecution

In many jurisdictions, the business community increasingly faces the risk of criminal liability, in areas of the law that did not previously present such risks. There is also an increased level of cooperation amongst agencies in different countries, and a willingness to use criminal powers against entities as well as their officers and employees. Clients may therefore face the risk of parallel criminal investigations in different jurisdictions and may also be confronted with a range of different criminal, regulatory and civil liabilities that arise from the same allegations. We help clients manage these challenges.

Regulatory investigations

Across our network, we regularly assist the world's leading businesses in responding to regulatory challenges. We have the experience to advise clients on how to avoid the risk of intervention by governmental agencies and regulators, and to guide them through the difficult tactical and commercial decisions that they will face if investigations arise.

Our reputation in this area is such that leading regulators have also instructed us to carry out investigations on their behalf.

Sanctions investigations

For decades, we have defended companies and individuals in government investigations involving export control and economic sanctions issues, as well as anti-corruption, money laundering, fraud, antitrust, racketeering, false accounting and other allegations that often come into play in these investigations.

We have conducted internal investigations for many of the largest corporations in the world, including some of the most significant investigations under the US sanctions regime. We have advised senior management, audit committees, boards of directors, and supervisory boards in connection with our findings and recommended remedial actions.

Internal investigations

An institution that discovers potential violations must make important choices as to how to investigate them. These will determine the speed, effectiveness and credibility of the investigation, as well as its cost. We understand the issues that our clients face in these circumstances and we have the expertise to help clients focus on the outcomes that they want to achieve and to advise them on the sensitive issues that are often associated with internal investigations, such as reputation management or disciplinary action against employees. We regularly advise on reporting obligations and the use of voluntary disclosure programs under a variety of regulatory regimes.

OUR CAPABILITIES CONTINUED

Anti-bribery and corruption advice

We have unmatched capabilities and experience in providing cross-border anti-corruption advice to multinational corporations. We have in-depth knowledge of worldwide anti-corruption instruments such as the UN Convention Against Corruption and the OECD Anti-bribery Convention, as well as key legislation such as the US Foreign Corrupt Practices Act (FCPA) and the UK Bribery Act. We represent companies in all aspects of their anti-corruption efforts, including developing and implementing compliance management systems, conducting due diligence reviews, conducting internal investigations, and defending companies and individuals in government investigations.

Anti-Money Laundering compliance

We have been at the forefront of anti-money laundering compliance ever since financial institutions were first called upon to maintain AML systems in the early 1990s. Lawyers from our financial services and litigation practice areas are recognized as experts in this field and we have helped institutions across the globe implement systems and provide training to their staff.

Fraud investigations and asset recovery

Our wide experience in investigating fraud and bringing asset recovery proceedings enables us to act quickly and decisively in securing assets and bringing proceedings for clients who have been the victims of fraud.

We also have experience of dealing with regulators and the police where civil action is accompanied by regulatory investigation or a criminal prosecution, to ensure consistency and efficiency between the civil action and other proceedings.

Antitrust litigation and cartel investigations

Our Global Antitrust Litigation Group represents clients across a wide range of industries, in high profile cases before US, UK, and European courts. Our lawyers are highly skilled in dealing with cartel and other antitrust investigations. Recently our team has been advising banks on the ongoing multi-jurisdictional investigations (including investigations by the FSA/FCA and European Commission) into LIBOR.

OUR US REGULATORY ENFORCEMENT, INVESTIGATIONS AND WHITE COLLAR TEAM



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*Clifford Chance has a co-operation agreement with Abuhimed Alsheikh Alhagbani Law Firm in Riyadh
Clifford Chance has a best friends relationship with Redcliffe Partners in Ukraine.

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