

## Compliance & Internal Investigations



### COUNSEL FOR COMPLIANCE, EXPERIENCE IN INTERNAL INVESTIGATIONS

Businesses of all sizes and in all industries rely on experienced counsel to guide them through complicated networks of government agencies, rules, and regulations. Brooks Pierce attorneys have dedicated themselves to understanding these regulations and how to help clients minimize risk of governmental investigation while maximizing growth, investment, and operational efficiency.

In pursuit of these aims, our lawyers closely monitor developments in the Guidelines Manual of the U.S. Sentencing Commission, in particular those relevant to corporate compliance and ethics programs. Also, the 2012 Foreign Corrupt Practices Act Resource Guide, issued jointly by the Justice Department and the SEC, and public speeches by government officials give clues to enforcement patterns before they happen. We bring all of that material to bear in drafting written compliance programs and training employees in the requirements of complex regulations. All of this effort allows clients to prevent minor compliance problems from mushrooming into expensive investigations.

**Wide Range of Industry Experience.** Our attorneys handle compliance matters for clients in:

Health Care – compliance with regulations such as HIPAA, those regarding antitrust issues, Medicare legislation, and North Carolina Department of Health and Human Services regulations

Banking and Finance – compliance and corporate governance regarding restrictions on mortgage loan originator compensation, the North Carolina Identity Protection Act, and other security regulations, both state and federal

Broker-Dealers – compliance with Securities Exchange Act of 1934 and accompanying regulations, as well as FINRA rules and regulatory guidance issued by the staffs of the SEC and FINRA.

Investment Management – compliance with the Investment Advisers Act of 1940 and the North Carolina Investment Advisers Act and accompanying regulations

Media and Communications – compliance with Federal Communications Commission regulations, including those for broadcast station licensing, programming issues (children’s programming, indecency standards, closed captioning), EEO rules, and political advertising restrictions

Environmental – compliance with OSHA, the Clean Air and Water Acts, the Resource Conservation and Recovery Act (RCRA), the Emergency Planning and Community Right-to-Know Act, and both the state and federal Environmental Policy Act

We also have extensive experience in general business and employment, construction safety, and utilities regulation compliance.

### **Internal Investigations**

When clients suspect wrongdoing within their company, getting the right people to conduct a thorough and impartial investigation is of key importance. Companies regularly approach us to conduct internal investigations of their compliance with various regulations in response to government inquiry or before becoming subject to a government investigation. Skilled attorneys can discreetly examine your operations and give you honest feedback on your legal liability.

In doing so, our lawyers efficiently interview witnesses and collect and analyze documents and electronic data to provide unvarnished advice on a company's next steps.

Issues we have investigated include:

Employment – discrimination claims, policies and handbooks, hiring and firing procedures

Securities – insider trading claims, suspicions of fraud

Ethics – embezzlement claims, violations of professional ethics regulations

Privacy – data breaches, illegal sharing of customer information

[How can we help your company stay compliant?](#)