



YOUR BUSINESS LAW FIRM

# COMPLIANCE AND INTERNAL INVESTIGATIONS

LIVE UP TO YOUR VALUES – WITH US



# Skill creates transparency: our compliance expertise

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GÖRG is one of the top independent business law firms in Germany, with many years of advisory experience regarding all matters and tasks involved in compliance and internal investigations.

## Take advantage of opportunities – minimise risks

Appropriate structures for transparent and reliable corporate governance have become increasingly important, as companies are faced with ever more complex legal requirements and stricter enforcement by authorities. In today's context, corporate groups and individual companies require tailor-made frameworks and policies to minimise the risks associated with their business activities.

## Pool resources – implement concepts

Our interdisciplinary team of experienced lawyers and auditors offers companies and their management comprehensive advice regarding all compliance matters. We have the expertise to plan and develop a compliance system specifically tailored to your business and to implement it using appropriate measures.

## Ensure clarity – gain security

For internal investigations, we support your business by effectively and comprehensively reviewing facts, as well as conducting investigations independently where needed. In the event of compliance violations, we assist in rapidly adopting key measures to safeguard your business interests. You can rely on our well-coordinated teams of experts, which are specially selected for each case based on the respective sectors and areas of law.



# Security at your side: our range of expertise and advice

- Support in risk analysis for companies and corporate groups
- Planning and arrangement of compliance audits and mock dawn raids
- Advice on the design, implementation and improvement of compliance systems
- Review of systems for early risk detection and compliance (IDW PS 980 and 340)
- Introduction of whistle-blower systems (e.g. whistleblowing hotline, ombudsperson) and internal leniency regulations
- Cooperation with supervisory and investigating authorities
- Developing compliance guidelines, employee policies, training concepts as well as conducting classroom and online training sessions
- Advice on combating and preventing corruption, for instance in relation to foreign transactions and foreign subsidiaries
- Advice on and implementation of business partner reviews (“know your customer” checks)
- Planning, structuring and implementation of internal company investigations, including preservation of evidence
- Enforcement of claims and defences in the event of compliance violations

## Selected references

<b>DAX subsidiary</b>	Coordination of internal investigations, company representation in matters of criminal law – legal defence of accused parties in preliminary investigations concerning alleged fraud affecting public authorities
<b>Construction group</b>	Review of systems for early risk detection and compliance (IDW PS 980 and 340)
<b>Former board member of a large investment service provider</b>	Defence against claims due to an allegedly inadequate compliance system
<b>International financial service provider</b>	Ongoing advice on money laundering prevention, including “know your customer” checks
<b>International medical group</b>	Comprehensive advice on compliance in the healthcare sector, including contract review, compliance guidelines and appointment of compliance officers
<b>Energy provider</b>	Preparation of work instructions for compliance officers, drafting of code of conduct guidelines
<b>Well-known plant constructor</b>	Devising a code of conduct, including an e-learning platform, as well as negotiation with the group works council and general works councils regarding implementation
<b>Large German bank</b>	Advice on setting up an internal whistle-blower hotline
<b>US-based group in the sensor sector</b>	Investigation of employee IT procurement activities involving systemic damages
<b>Insolvency administrator of a listed stock corporation</b>	Processing, review of and filing liability claims amounting to ca. 140 million Euros, in relation to fraud allegations and compliance violations
<b>Private banking group in Germany</b>	Implementation of compliance requirements in accordance with EU Directive MiFID II/MiFIR and user training concerning the daily operations of the private bank and its asset management affiliate

# Local presence: your contacts

## Stock corporation and capital markets law



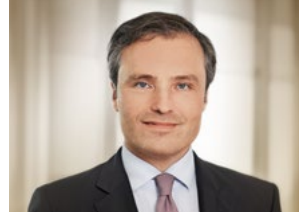
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## Labour and employment law



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## Banking and banking regulatory law, financing; foundation law



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## Data protection law



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## Corporate law



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## Health law; IP



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## Investment and regulatory law



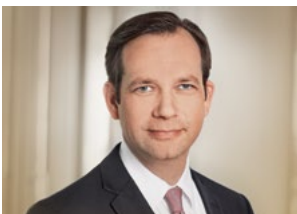
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## IT law and distribution law



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## Tax



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## Auditing



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## Public commercial law



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## About Us:

GÖRG ranks among Germany's leading independent business law firms. With some 300 lawyers and tax advisors based at our five locations – in Berlin, Cologne, Frankfurt am Main, Hamburg and Munich – we are able to offer our clients the full breadth and scope of legal expertise and experience needed to cover all core areas of business law.