



# Regulatory Investigations and Compliance

A rapidly shrinking world offers the potential for ever larger rewards to American businesses that venture abroad or expand the scope of their foreign ventures. But myriad international trade treaties, export controls, and increased prosecution of violations of laws such as the Foreign Corrupt Practices Act (FCPA) and the U.K. Bribery Act have raised the stakes for businesses. The need for legal assistance to ensure compliance and address allegations of wrongdoing is therefore essential.

Hinshaw's White Collar Practice attorneys help clients ensure regulatory compliance and, where necessary, conduct internal investigations and successfully address governmental investigations. We also counsel clients on proactively managing risk so as to engage in proper business practices, develop and implement appropriate compliance programs, tackle potential trouble spots and preempt governmental investigations. Our legal services in the areas of regulatory investigations and internal compliance have involved activities in countries such as China, India, Mexico and Venezuela.

Our team includes former U.S. Attorneys and Assistant U.S. Attorneys, former state prosecutors, and corporate and transactional lawyers experienced in assisting businesses with risk management. This group, and our approach, is multidisciplinary in nature and designed to tackle challenges and manage risk holistically so as to develop effective solutions.

## Regulatory Investigations Representation

We proactively conduct internal investigations and, where necessary, defend entities and individuals in grand jury investigations involving anti-bribery laws, export control laws, money laundering, and other corruption-related laws, including Department of Justice and U.S. Securities and Exchange Commission requests, inquiries and investigative actions. We also simultaneously address parallel state and local prosecutions and civil actions so as to cover and uniformly defend all allegations. In doing so, we:

- Independently investigate the alleged misconduct and any related collateral issues
- Promptly and efficiently gather the evidence
- Analyze and advise on all legal and financial exposure
- Evaluate the necessity for, and proper scope of, any disclosures to regulators
- Develop remedial actions that address the legal exposure, implicated parties and business interests at issue

### Attorneys

Robert D. Bailey  
Michael F. Iasparro  
Tomislav Z. Kuzmanovic  
Daniel M. Purdom  
J. William Roberts  
Robert T. Shannon  
Kenneth E. Yeadon

### Related Services

Internal Investigations  
Securities Litigation and Enforcement  
White Collar Defense & Internal Investigations

### Related Industries

Health Care



## Compliance Counseling

Robust programs addressing export control laws, the FCPA, anti-money laundering and other corruption-related laws are not just good business practice, they can also help minimize the consequences of, or even avoid, criminal prosecution. Indeed, U.S. Department of Justice and Securities & Exchange Commission guidance and enforcement actions suggest that having such programs in place may give rise to a *de facto* defense, or avoidance of prosecution altogether, in FCPA matters.

Hinshaw attorneys help companies develop and implement appropriate and cost-effective compliance programs. We also assist businesses with existing programs by conducting an independent audit and helping such organizations upgrade their plans so as to identify and address existing and new exposures to risk.

In assessing an existing compliance program, we seek to accurately measure the organization's risks—by assessing its customers, geographic scope, industry, operations and practices—while remaining mindful to minimize disruption to the business' day-to-day operations. Once we have identified the risks and exposures, we help our clients understand them; develop practices—including due diligence measures and appropriate internal controls—to address compliance; and implement those plans internally in a way that is practical and tailored to the business' practices and needs. Among other activities, we assist with:

- Program rollout and communication strategies
- Internal training, acknowledgment and certification practices
- Officer and board communication preparation and employee updates
- Drafting forms
- Creating anti-corruption contract language and revising existing agreements
- Developing checklist documents
- Establishing monitoring processes

## News

[Tomislav Kuzmanovic Appointed Partner-in-Charge of Hinshaw's Milwaukee Office](#)

October 16, 2023

[Hinshaw Partner Gretchen Harris Sperry Named to Crain's Chicago Business' 2021 Notable Gen X Leaders](#)

November 22, 2021

[David S. Weinstein Discusses Unique Aspects of Defending Alleged Cartel Member Defendants](#)

September 3, 2020

[Tom Kuzmanovic Discusses Croatia's Operation Storm and Subsequent ICTY Trials](#)

August 26, 2020

[David S. Weinstein Describes COVID-19-Related Fraud Schemes Targeting Financial Institutions and Individuals](#)

August 7, 2020

[David S. Weinstein Discusses Impact of Newly Unsealed Papers in Ghislaine Maxwell Case With New York Daily News](#)

August 4, 2020

[New York Times, The Guardian and New York Daily News Quote David S. Weinstein Regarding Arrest and Indictment of Ghislaine Maxwell](#)

July 8, 2020

[David S. Weinstein Comments in Law360 on Prosecution Tactics in George Floyd Murder Case](#)

June 8, 2020



[David S. Weinstein: Reversal of Prosecutors' Sentencing Recommendation in Roger Stone Case "Raises Both Eyebrows"](#)  
February 12, 2020

[David S. Weinstein Discusses Senate's Impeachment Vote on CBS4 Miami](#)  
February 7, 2020

[Media Summary: David S. Weinstein Discusses Impeachment Trial Proceedings](#)  
January 31, 2020

[David S. Weinstein Talks with USA Today about Lev Parnas' Bid for Leniency](#)  
January 20, 2020

[Ken Yeadon Talks to Business Insurance about SEC Disgorgement Case Recently Accepted for Review by SCOTUS](#)  
November 14, 2019

[David Weinstein Discusses Arrest and Indictment of Florida-Based Associates of Rudy Giuliani for Alleged Election Law Violations](#)  
October 11, 2019

[Hinshaw's David Weinstein Discusses Congressional Testimony of Former Special Prosecutor Robert Mueller](#)  
July 29, 2019

[Hinshaw's David S. Weinstein Discusses Arrest and Indictment of Billionaire Sex Offender Jeffrey Epstein](#)  
July 10, 2019

[David S. Weinstein Discusses Obligations of U.S. Political Candidates to Report Contact with Foreign Agents](#)  
June 17, 2019

[Can the Mueller Investigation Break Even? David S. Weinstein Comments in USA Today](#)  
February 13, 2019

[David S. Weinstein Appears on CBS Miami TV to Discuss Implementation of Florida Amendment that Restores Voting Rights for Most Convicted Felons](#)  
January 9, 2019

[Cohen Jail Sentence "Fair and Reasonable" according to David S. Weinstein](#)  
December 13, 2018

[Media Summary: David S. Weinstein Suggests Paul Manafort Likely Angling for a Presidential Pardon](#)  
December 4, 2018

[David S. Weinstein Quoted in CNBC Regarding Paul Manafort's Plea Deal to Cooperate with Mueller Investigation](#)  
September 21, 2018

[David S. Weinstein on Manafort Convictions, Cohen's Guilty Plea](#)  
August 23, 2018

[Media Summary: Manafort Trial Insights from David S. Weinstein](#)  
August 20, 2018

[David S. Weinstein: Secret White House Recordings Taped by Omarosa "Not Illegal" although "Highly Unusual"](#)  
August 14, 2018

[David S. Weinstein in Politico and WIOD: What impact will interactions between prosecutors and Judge Ellis have on jury in Manafort trial?](#)  
August 10, 2018

[David S. Weinstein Discusses the Manafort Trial Proceedings on First News with Jimmy Cefalo](#)  
August 3, 2018



[David Weinstein in Politico: If what Michael Cohen now says is true ... it will make Watergate look like a mere burglary](#)  
July 30, 2018

[David S. Weinstein Quoted in Politico's "It's a big FU from Mueller" Story, Talks to CBS4 Miami](#)  
July 18, 2018

[Ken Yeadon Discusses the Settlements of Two Libya FCPA Cases in Wall Street Journal](#)  
June 8, 2018

[Hinshaw's David S. Weinstein Continues his Analysis of the Addition of Jane and Marty Raskin to President Trump's Legal Defense Team: Washington Post](#)  
April 26, 2018

[Media Summary: David S. Weinstein Discusses the Mistrial of New Jersey Senator Robert Menendez](#)  
November 17, 2017

[Media Summary: Ken Yeadon and David S. Weinstein Discuss the Indictment of former Trump Campaign Chair Paul Manafort](#)  
November 3, 2017

[Hinshaw Achieves National and Regional Recognition in 2018 U.S. News - Best Lawyers® "Best Law Firms" Directory](#)  
November 1, 2017

[Hinshaw Welcomes Former Assistant U.S. Attorney and Well-Respected South Florida Legal Analyst David Weinstein to its Miami Office](#)  
September 25, 2017

[Ken Yeadon Talks to HealthcareDive about \\$1.3bn Federal Health Care Fraud Takedown](#)  
July 18, 2017

[Recent FCPA Settlements Prohibit Executives from Serving as Officers or Directors of Public Companies](#)  
May 16, 2017

[Highly Anticipated SCOTUS Ruling in SEC Disgorgement Case Could Benefit D&O Insurers](#)  
April 27, 2017

[Hinshaw's Ken Yeadon Considers Possible Changes to DOJ Enforcement Priorities under the Trump Administration](#)  
February 9, 2017

[Is Disgorgement a Fine, Forfeiture, Penalty or Equitable Remedy? The U.S. Supreme Court Will Decide](#)  
February 2, 2017

[Former Assistant U.S. Attorney and SEC Enforcement Lawyer Ken Yeadon Joins Hinshaw in Chicago](#)  
January 25, 2017

[Sergio Acosta Comments on SEC's Expanded Reading of "Anything of Value" Under FCPA](#)  
August 31, 2015

[Sergio E. Acosta Selected by Illinois Governor to Serve on the State's Concealed Carry Licensing Review Board](#)  
January 7, 2014

[Sergio Acosta Weighs in on the Jacksons' Sentencing on Chicago Tonight](#)  
August 19, 2013



## Events

[Hinshaw Attorneys Scheduled to Present at DRI Cybersecurity and Data Privacy Seminar](#)

September 7, 2018

Loews Hotel | Chicago, Illinois

[John le Carré novel or CLE? Hinshaw duo discuss the deep and complicated legal issues involved in the Mueller investigation](#)

August 29, 2018

James R. Thompson Center, Chicago IL

[Ken Yeadon to Moderate Global Risk Management and Compliance Strategies Panel at the 18th Annual SuperConference](#)

May 23, 2018

Chicago Marriott Downtown Magnificent Mile, Chicago, Illinois

[Daniel Purdom to Present on Putting in Place Document Retention Programs](#)

June 10, 2015

University of Illinois Business & Industry Services, 1100 East Warrenville Road, Naperville, Illinois 60563

[Hinshaw's Annual Labor & Employment Seminar](#)

October 2, 2013

Hoffman Estates, Illinois

[Sergio Acosta Presenting at American Bar Association's Sixth Annual National Institute on the Foreign Corrupt Practices Act](#)

September 18, 2013

Washington, D.C.