

# General Counsel & Compliance Support



## Managing Corporate Risk in an Evolving Landscape

Regulatory and risk environments grow more complex by the day, and legal and compliance teams face more challenges now than ever before. As regulations multiply and threats become more sophisticated, organisations must assess and implement comprehensive risk management strategies and beyond that, vigilantly monitor compliance to proactively mitigate legal, financial, and reputational risk. In reacting to business incidents, internal stakeholders must consider the wide range of investigative approaches and methodologies alongside the prospective outcomes for the business.

Ankura provides a holistic suite of services and solutions designed to proactively manage compliance obligations, respond to incidents with forensic readiness, and build a resilient risk management framework tailored to the industry, scale, and footprint of your organisation, all within the context of evolving regulations and malfeasants.

## Ankura's General Counsel & Compliance Related Service Offerings And Experience



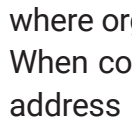
### Internal Investigations

Organisations need to triage and investigate allegations or suspicions of malfeasance quickly to mitigate exposure, inform decision-making, and plan for and manage subsequent engagement with stakeholders. Effectively managing cases arising from reporting hotlines and internal reviews can be daunting, in both the topical breadth and volume of reports. Teams responsible for managing internal investigations are often challenged by the need to balance costs and efficiency, with being thorough and judicious in the methodology and evidence collected in their investigations. Ankura professionals work with clients across a range of capacities and contexts, including during transaction activity and periods of organisational change or stress – from advising on investigative processes and training, to acting as an extension of the investigation team and addressing skills gaps across accounting, language, digital forensics and corporate intelligence.

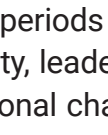
We support companies in their triage, approach, and management of investigations in the following areas:

- Employee fraud schemes
- Bribery, corruption or procurement fraud
- Forensic accounting investigations

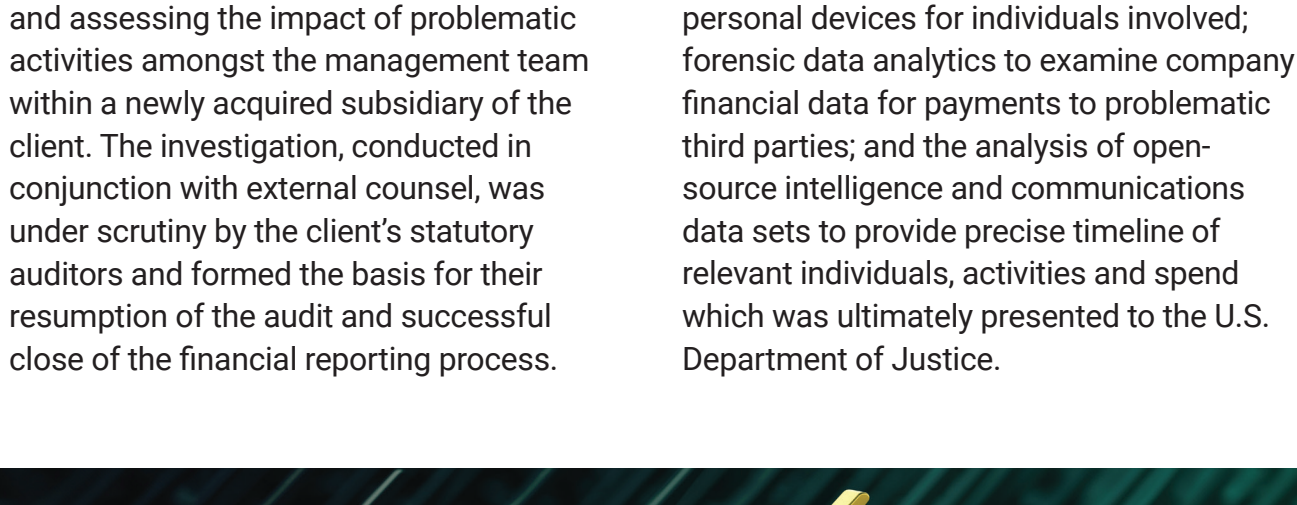
#### OUR PROFESSIONALS' EXPERIENCE



Investigating allegations of potential bribery and regulatory breaches for a global pharmaceutical company within its Saudi Arabia affiliate. Ankura conducted a time-sensitive investigation into concerns relating to inflated payments, unusual gifts and hospitality provided to healthcare professionals. Our work combined whistleblower, witness and suspect interviews with targeted email review, forensic analysis of budgets, actual spend and vendor payments, and review of compliance documentation and approval processes. The investigation confirmed misconduct, resulting in senior dismissals and the identification of potential Foreign Corrupt Practices Act (FCPA) violations, supporting the client's escalation and response.



Conducting an anti-money laundering (AML) investigation on behalf of a UK retail bank regarding an employee with links to an organised crime gang. This involved investigating employees involved in the allegations and a more comprehensive review of branch employees and customers to identify links to cartel members; detailed analysis on business and retail customer bank accounts and cash transaction data to identify anomalies and trends which may indicate a risk of money laundering; and forensic collection and imaging of laptops and mobile phones for email files and other documents.



### Crisis Management

Organisations responding to scandal, crisis, or allegations of misconduct are subject to intense scrutiny from law enforcement, regulators, shareholders, and the public, particularly where organisational change, transformation or periods of stress give rise to heightened risk. When confronted with allegations of illicit activity, leaders must act swiftly and decisively to address all related regulatory, legal, and operational challenges. A credible, proper response can protect an organisation and its stakeholders by preventing isolated issues from becoming systemic problems and by minimising disruption to an organisation's reputation and value.

We support companies in responding to crises through:

- Regulatory enquiries into fraud, corruption, misconduct and financial crime
- Forensic investigations into fraud and financial reporting concerns
- Cyber breaches

In addition to the above, we routinely work with internal and external counsel, providing supplemental expertise to enhance legal advice. For example, gathering relevant corporate intelligence, expanding their geographical reach, providing relevant language support, and providing state of the art digital forensics, e-Discovery and advanced analytics technology.

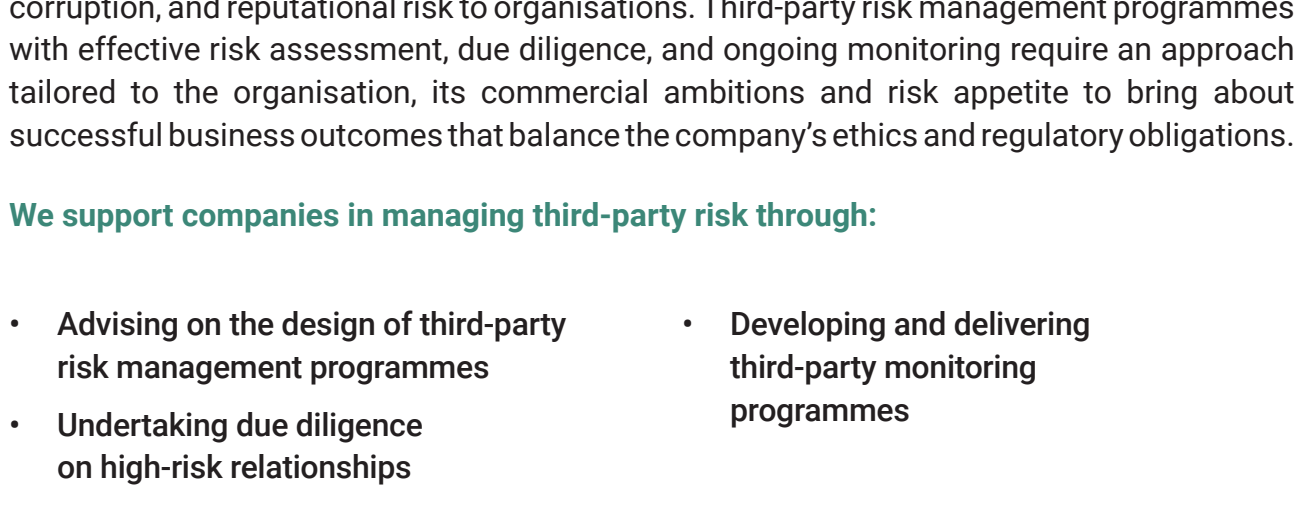
#### OUR PROFESSIONALS' EXPERIENCE



Investigating concerns raised by a client's auditors which halted their financial reporting process and placed significant strain on the board and its audit committee. Our work included the forensic collection and hosting of relevant digital evidence; a full review of revenue streams in question; and assessing the impact of problematic activities amongst the management team within a newly acquired subsidiary of the client. The investigation, conducted in conjunction with external counsel, was under scrutiny by the client's statutory auditors and formed the basis for their resumption of the audit and successful close of the financial reporting process.



Investigating allegations of corruption and influence peddling at a management consulting firm, including supporting external counsel in updates to the U.S. Department of Justice and reporting to the client's auditors. Our work included on-the-ground collection of company data and personal devices for individuals involved; forensic data analytics to examine company financial data for payments to problematic third parties; and the analysis of open-source intelligence and communications data sets to provide precise timeline of relevant individuals, activities and spend which was ultimately presented to the U.S. Department of Justice.



### Ethics and Compliance Consulting

In today's global economy, change accelerates at incredible velocity, and organisations around the world must grapple with an unprecedented level of disruption and risk. Alongside a growing global demand for greater transparency and accountability for how organisations and their employees operate; regulatory standards have proliferated and intensified worldwide. Being responsive to the global regulatory environment in periods of growth, organisational transformation or stress, while navigating ever evolving ethics, integrity, and compliance expectations requires integration of strategy, compliance, operations, and technology.

We support companies in achieving their ethics and compliance ambitions through:

- Risk assessment and benchmarking
- Cyber risk and data privacy
- Risk reviews and compliance audits
- Financial crime compliance programmes
- Pre or post acquisition compliance due diligence

#### OUR PROFESSIONALS' EXPERIENCE



Undertaking an independent evaluation of the Board and governance structures for a public sector organisation. The work included administering questionnaires to collect data points, interviewing key stakeholders including all Board and senior executive team members and attending the Board meetings to observe critical interactions. The engagement resulted in a report of detailed findings, conclusions, and recommendations for improvement in Board effectiveness and governance.



Conducting a compliance framework assessment for the core medical device business of a multinational industrial conglomerate, focused on bribery and corruption and sanctions risk. The assessment benchmarked the maturity of the compliance programme against the COSO Framework and U.S. Department of Justice's Hallmarks of Compliance guidance and identified opportunities for improvement. The assessment was based off an amalgamation of document review, interviews and data analysis to provide a composite view of the current state and its effectiveness in light of risk.



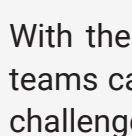
### Third-Party Risk Management

Partnerships, joint-ventures, and leveraging international networks are critical to operating at a global scale. Yet third-party business partners continue to present significant fraud, corruption, and reputational risk to organisations. Third-party risk management programmes with effective risk assessment, due diligence, and ongoing monitoring require an approach tailored to the organisation, its commercial ambitions and risk appetite to bring about successful business outcomes that balance the company's ethics and regulatory obligations.

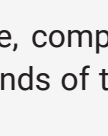
We support companies in managing third-party risk through:

- Advising on the design of third-party risk management programmes
- Developing and delivering third-party monitoring programmes
- Undertaking due diligence on high-risk relationships

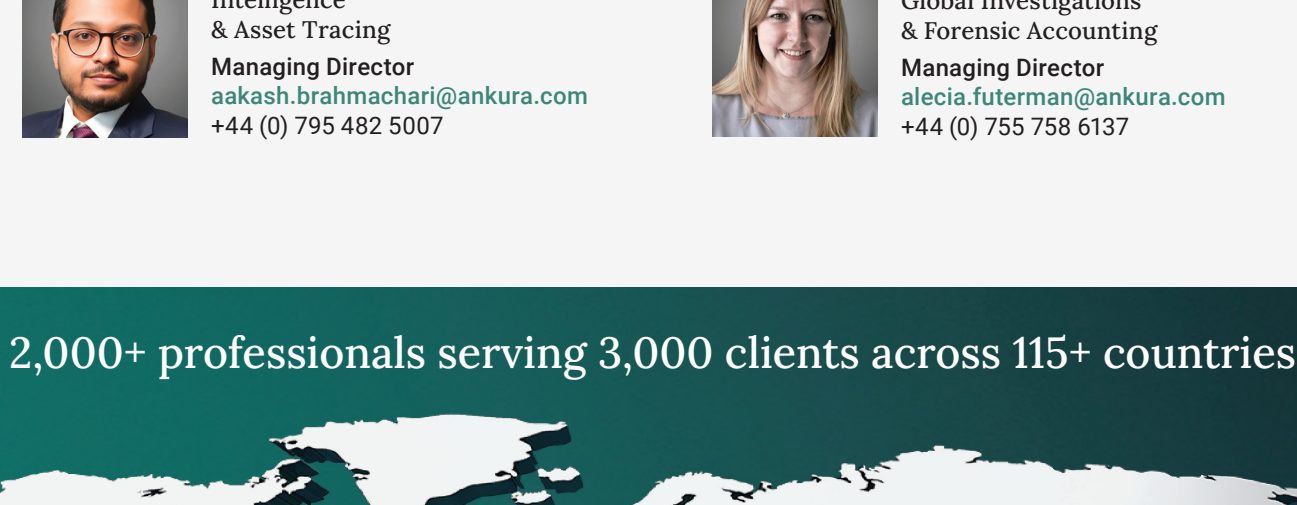
#### OUR PROFESSIONALS' EXPERIENCE



Advancing and managing the third-party compliance audit programme for a client's vendors, suppliers and channel partners across Europe, Middle East, and Africa. The compliance audits considered corruption, sanctions, fraud, and competition risks and involved forensic accounting review, interviews with both client and third-party staff members, and assessments of the third-party's controls and compliance environment.



In Response to a DPA with the Serious Fraud Office, devising an anti-bribery and corruption audit methodology for third parties engaged by our client in the construction sector. Working with the client and their appointed monitor, we conducted three audits and subsequently led a teaching session to allow the client to re-perform such audits on a regular basis. Additionally, we responded to queries from the client and helped their internal personnel gain a better understanding of regulatory requirements.



### Strategic Litigation & Investigation Technology

Mounting regulatory demands, volatile litigation risk, cost pressures, and evolving stakeholder expectations place increasing strain on legal functions' ability to deliver high-quality outcomes efficiently and consistently. Organisations must manage a growing volume of complex litigation matters, investigations, and compliance obligations across disparate data sets and systems, while extracting meaningful insight from growing volumes of information to support sound decision-making, defensible outcomes, and effective use of resources.

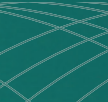
We support organisations with litigation matters, investigations, and compliance through strategic application of technology and advanced analytics, including:

- Digital forensics & e-Discovery
- Litigation support & legal analytics
- Analytics-enabled investigations & compliance
- Legal spend management & process optimisation
- Tailored AI compliance & discovery solutions
- Data science & advanced analytics

#### OUR PROFESSIONALS' EXPERIENCE



Supporting a FTSE 250 company under intense time and stakeholder pressure following short-seller allegations relating to unethical sales practices. Ankura deployed its proprietary AI-enabled natural-language chatbot and advanced analytics to rapidly test allegations and reduce the scope of review. From a population of over 800,000 records, technology-assisted review narrowed the dataset to 950 documents, of which 417 were identified as relevant, enabling the client to deliver a robust investigation report to the Executive Committee within four weeks.



Ankura is a long-term provider of legal technology and e-Discovery services supporting high-profile litigation and investigations for a global beverages company. Ankura supports complex matters from early-case assessments to multi-year litigation, routinely managing large data populations. In one matter, analytics-driven workflows delivered over 65% cost savings across the review of more than 10.6 million documents, accelerating time-to-insight for legal teams under pressure.

## Our Experts

With the right expertise and solutions in place, compliance, legal, and risk management teams can feel empowered to tackle the demands of today, whilst feeling prepared for the challenges of tomorrow.

Ankura has more than 450 dedicated risk advisory experts across investigations, risk, compliance and technology across our 35+ global offices. Combined, these experts have delivered on-the-ground compliance and investigations advice in over 130 countries, in response to internal demands and enquiries from some of the most demanding international enforcement agencies, including the U.S. Department of Justice and Serious Fraud Office.

Get in touch to explore how Ankura's professionals can become an invaluable extension of your team.

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