



GOVERNANCE & COMPLIANCE

THE BUSINESS LIFE CYCLE



THE BEST COMPLIANCE PROGRAM IN THE WORLD IS WORTHLESS IF IT CANNOT BE IMPLEMENTED EFFECTIVELY

DLA Piper’s Global Governance and Compliance group has unparalleled experience helping clients with international operations meet the evolving – and sometimes conflicting – expectations of regulatory and enforcement agencies.

With compliance-focused lawyers in over 75 offices covering more than 35 countries and their capital cities, we have the global breadth, local knowledge and industry experience to guide clients in all aspects of designing, implementing and managing compliance programs, assessing and mitigating risk, remediating compliance issues and running internal investigations.

The best compliance program in the world is worthless if it cannot be implemented effectively. Importantly, our Compliance team includes former general counsels and in-house chief compliance counsel, as well as business leaders who ensure we provide practical and actionable advice.

Regulators recognize this and often investigate whether an organization’s compliance program is truly integrated, or whether it is simply a paper program. But a compliance program is equally worthless if it does not also allow you to

conduct business profitably and efficiently. We understand this balance and ensure that our compliance advice and recommendations can be implemented and eliminate or mitigate a company’s greatest legal risks without disrupting lawful business goals and practices.

WHO BENEFITS?

Every corporate stakeholder benefits immeasurably when a company can demonstrate that it has embraced best business, compliance and governance practices, is resolutely committed to effective self-policing and responsible self-reporting, and has instituted prudent and transparent measures to mitigate risks.

A properly performed compliance risk assessment and protection strategy allows a **company and its directors and officers** to, in a very real sense, improve the factual record by identifying risks early and demonstrating that appropriate precautions were taken and best practices were implemented. In such circumstances, the misconduct of rogue employees is far less likely to inflict institutional harm. It is easier to defend something that happened despite robust policies and procedures than to defend something that goes wrong when they are lacking.



Effective compliance begins with an independent and realistic assessment of the existing internal standards procedures, politics and regulation already developed in the company and, if the case, a thorough analysis of the compliance system together with the identification of any ethical or/and compliance related risks that could threaten your company.



<p>“Quick to respond and extremely solution oriented.”</p> <p>Chambers</p>	<p>“The excellent service leads to successful commercial outcomes.”</p> <p>Chambers</p>
<p>“Worth every penny.”</p> <p>Chambers</p>	<p>“Fantastic global reach and highly accommodating timely approach.”</p> <p>Chambers</p>



EXTERNAL COMPLIANCE SERVICES

- **Define and implement policies, standards, guidelines, procedures** according to the needs of organizations
- Exercise **effective oversight of compliance and ethics processes**
- **Communicate and educate employees** on compliance and ethics matters
- **Evaluate and audit** compliance and ethics programs for effectiveness
- **Ensure consistent enforcement** of the rules and discipline in their application against cases of abusive behaviour, violence, discrimination
- **Ensure appropriate response** to incidents and take the steps required to prevent future incidents
- Provide a **single and secure point of contact** for cases related to ethics & compliance aspects
- Carry out **investigations**
- **Ensure proper channels for information regarding possible compliance issues surfacing (ombudsman, whistleblowing etc)**

IMPLEMENTATION OF COMPLIANCE MANAGEMENT SYSTEMS (CMS) IN ORGANIZATIONS

- Define a customized **compliance management system (CMS)** – concept and approach
- Define the organizational structure and ensure proper alignment within the organization
- Implement the CMS and ensure its proper embedding of the program/department
- Ensure temporary management and resources if needed
- Recruitment services
- Resource training after implementing the CMS
- Employees training concepts to ensure proper embedding of the CMS
- Stress test after implementing the CMS
- Testing of response time after implementing the CMS

COMPLIANCE CHECKS AND AUDIT SERVICES

- Comprehensive checks of existing regulatory
- Comprehensive review of organization adherence to regulatory guidelines
- Comprehensive review of organization adherence to applicable legal, financial, labor protection, environment etc. provisions, both for
 - private companies
 - state owned companies & institutions

GLOBAL REACH LOCAL EXPERIENCE

DLA Piper is one of the world's most geographically widespread legal service providers, capable of providing legal service to our clients virtually wherever they need it across the US, UK, Continental Europe, the Middle East, Asia Pacific and Africa. Beyond our global reach, the strength of our practice areas worldwide is virtually unmatched. Our ability to effectively and efficiently work in cross-border, cross-practice teams across our global platform is one of our significant strengths. Our successful management of complex matters has become a norm for which we take great pride, as the foundation for this success can be found in the commitment of dedicated client managers.

Our team of lawyers from various local and global practices offers to our clients the best mixture between deep legal knowledge and thorough experience in the field of project

management, consulting and coaching for change aspects. We have extensive multi-jurisdictional experience in relevant areas such as:

- Commercial Litigation
- Competition Law
- Corporate and Finance
- Corporate Crime and Investigations
- Employment Law
- Energy Law
- Finance and Projects
- Governance and Compliance
- Private Equity
- Real Estate Law
- Regulatory

FOR MORE INFORMATION

To learn more about our services related to governance and compliance please visit www.dlapiper.com or contact our Governance & Compliance key representatives in Romania:



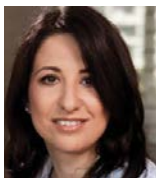
Marian Dinu

Country Managing Partner
T +40 372 155 881
marian.dinu@dlapiper.com



Ioana Laeş-Ichim

Senior Associate Compliance & Financial –
White Collar Crime Prevention
T +40 372 155 854
ioana.laes@dlapiper.com



Livia Zamfiropol

Partner, Head of Life Sciences
and Competition
T +40 372 155 809
livia.zamfiropol@dlapiper.com



Vadim Barbu

Associate
T +40 372 155 842
vadim.barbu@dlapiper.com



Alexandru Arjoca

Counsel
T +40 372 155 869
alexandru.arjoca@dlapiper.com

www.dlapiper.com

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