

GLOBAL INVESTIGATIONS

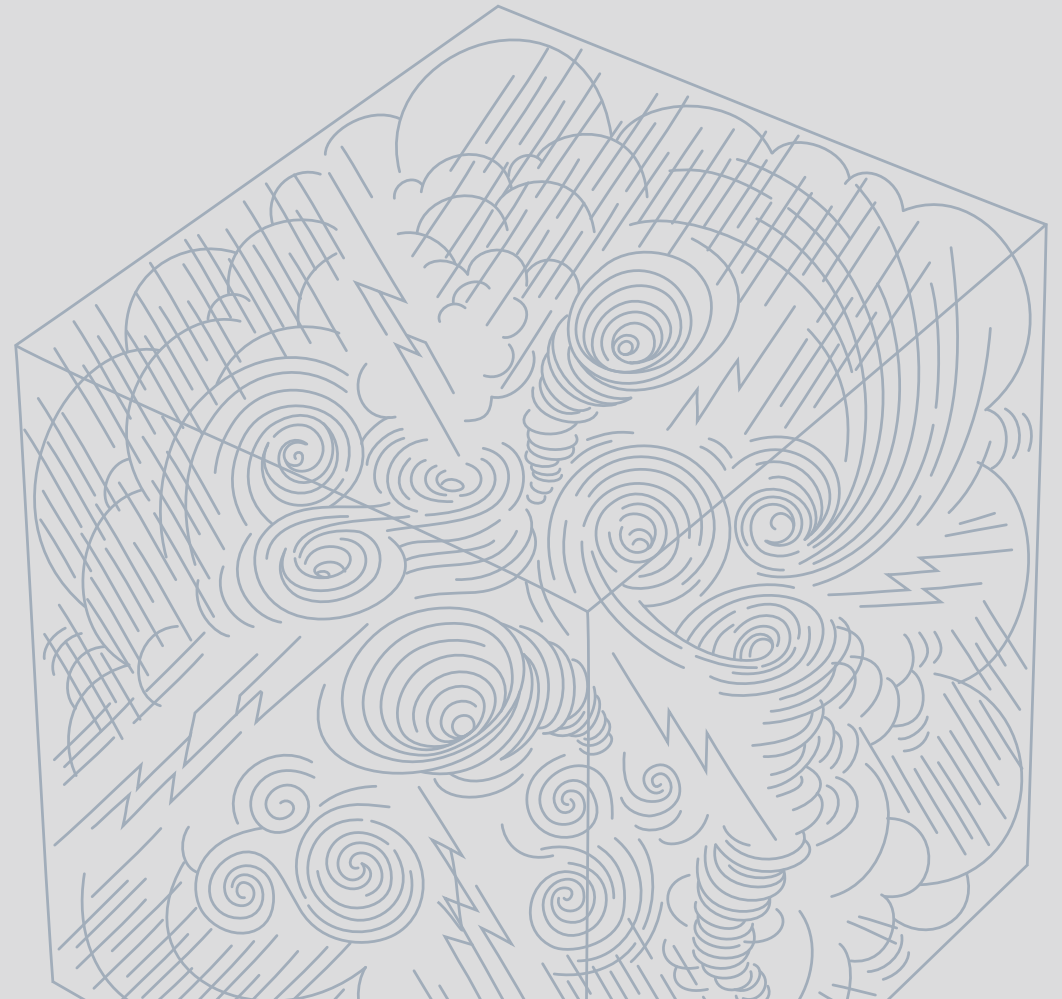
Investigate.

Advise.

Defend.

Comply.

 **ADDLESHAW
GODDARD**





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**GO-TO FIRM FOR BOTH LOCAL AND
MULTINATIONAL CLIENTS FACING
GOVERNMENT INVESTIGATIONS.**

Global Investigations Review

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**COMPLETE AND SEAMLESS JOINED-UPNESS
BETWEEN SPECIALIST TEAMS.**

Legal 500 2021

GLOBAL INVESTIGATIONS

THE CHANGING RISK LANDSCAPE

Responsible corporates and organisations work hard to do the right thing, but the modern business world is fraught with new and expanding risks. These challenges demand pragmatic, commercial and sound legal strategies, informed by decades of experience in addressing and combating corporate crime. Our Global Investigations team helps organisations tackle and mitigate the myriad threats, including reputational risks, of:

- compliance with changing legislation aimed at corporate accountability;
- enforcement actions by law enforcement, prosecutors, regulators and other public or quasi-public bodies; and
- misconduct including issues of corporate criminal liability.

Enforcement actions affecting corporations and their senior leadership teams span an enormous range of offences and infractions: bribery and corruption, money laundering, fraud, financial services misconduct, professional standards breaches, sanctions, tax evasion, health and safety breaches and much more. We help organisations investigate wrongdoing, work with public bodies, and ensure compliance, while supporting individuals who find themselves caught up in corporate or financial allegations of misconduct.



BROAD EXPERTISE, DEEP EXPERIENCE

OUR SPECIALIST GLOBAL INVESTIGATIONS PRACTICE IS MADE UP OF 14 PARTNERS GLOBALLY (5 BASED OUTSIDE OF THE UK) WHO HAVE ACTED FOR MORE THAN TWO-THIRDS OF THE FTSE 100 AND ARE RECOMMENDED IN EVERY MAJOR LEGAL DIRECTORY. THE PRACTICE BRINGS TOGETHER EXPERTS FROM ALL CORE CRIMINAL AND REGULATORY DISCIPLINES, EACH WITH EXTENSIVE EXPERIENCE OF CONDUCTING MULTI-JURISDICTIONAL INTERNAL INVESTIGATIONS, LIAISING AND NEGOTIATING WITH LAW ENFORCEMENT AGENCIES OR REGULATORS AND REPRESENTING COMPANIES AND INDIVIDUALS IN COMPLEX, HIGH-PROFILE AND SENSITIVE MATTERS.”

We are one of the very few firms to have represented corporate clients in negotiations with both the UK Serious Fraud Office and US Department of Justice in a Deferred Prosecution Agreement. Alongside our corporate crime and sanctions practice we have specialists in financial services investigations, health and safety investigations and professional disciplinary investigations conducted by the PRA, FCA, PSR, FRC, AADB, HSE, SRA and others.

Former prosecutors and regulators in the team work alongside practitioners who have held senior roles in large corporates or who have years of experience defending companies from the threat of enforcement action.

We can guide and support you through every stage of an allegation or enforcement action, including:

- responding to the first alert and managing the immediate crisis
- representing you at trial, disciplinary hearings, settlement or other resolutions
- crafting an internal investigation strategy
- working closely with reputational management teams to ensure legal and commercial approaches are closely aligned
- managing the collection, review and disclosure of evidence
- designing and implementing compliance programs, past business reviews and remediation exercises to resolve historical issues and prevent and detect misconduct.
- addressing difficult and complex issues of legal professional privilege
- At all times our focus is on minimising the legal and reputational risks and the disruption to your operations, while finding commercial solutions to get you and your company back to developing your business.
- advising on potential liabilities and prospective remediation
- bringing private prosecutions or civil actions to defend the company from criminal threats
- representing you in investigations brought by law enforcement and regulators

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MICHELLE DE KLUYVER RECEIVES WIDESPREAD PLAUDITS FROM INTERNATIONAL PEERS FOR HER “FANTASTIC” WORK ON CROSS-BORDER CORPORATE INVESTIGATIONS RELATING TO FRAUD, BRIBERY AND CORRUPTION CLAIMS.

Who’s Who Legal, Investigations

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NICHOLA PETERS IS VERY KNOWLEDGEABLE, SENSIBLE AND PRAGMATIC. SHE REALLY FIGHTS FOR HER CLIENT.

Chambers & Partners

““

POLLY SPRENGER BRINGS TO BEAR PREVIOUS EXPERIENCE AS HEAD OF STRATEGIC INTELLIGENCE AT THE SFO IN PRIVATE PROSECUTIONS FOR CORPORATE CLIENTS, WITH NOTED EXPERTISE IN FRAUD MATTERS. “SHE IS ALWAYS LOOKING FOR CREATIVE SOLUTIONS TO CLIENTS’ PROBLEMS.”

Chambers & Partners

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DAVID PYGOTT AND SARAH THOMAS ARE BRIGHT, PERSONABLE AND GIVE SUCCINCT ADVICE.

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NICHOLA PETERS ENJOYS A “FANTASTIC REPUTATION” AMONG SOURCES AS “ONE OF THE MOST CAPABLE INVESTIGATIVE LAWYERS IN THE PRACTICE AREA”. ONE IMPRESSED PEER ADDS, “I WOULD DEFINITELY REFER WORK TO HER WHEN I HAVE A CONFLICT.

Who’s Who Legal, Investigations

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POLLY SPRENGER IS A SPECIALIST FRAUD LITIGATOR AND A VERY ABLE ADVOCATE. HER APPETITE AND HER ABILITY TO SEEK PRACTICAL AND COMMERCIAL SOLUTIONS FOR HER CLIENT, USING CRIMINAL AND CIVIL JURISDICTIONS IN THE UK, ARE EXEMPLARY.

Chambers & Partners

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DAVID PYGOTT HAS PHENOMENAL KNOWLEDGE OF FINANCIAL SERVICES REGULATION; CLOSE ATTENTION TO DETAIL; IS DEVOTED TO CLIENT SERVICE; AND DETERMINED TO GET AS GOOD A RESULT AS POSSIBLE’.

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HOLISTIC GUIDANCE TO **MANAGE** A CRISIS

INVESTIGATIONS



- Whistleblowing
- Data preservation and review
- Interviews
- Report drafting
- Remediation and past business reviews
- Investigations misconduct
- Liaising with regulators and enforcement agencies
- Reporting obligations

REPUTATION MANAGEMENT



- Leaks of confidential information
- Libel and defamation
- Media management
- Data privacy
- Urgent steps/injunctions

AUTHORITIES



- SFO, HMRC and law enforcement
- PRA, FCA and PSR
- FRC
- HSE, Environment Agency, Fire and Rescue Service
- Food and Fire Safety Authorities
- Local authorities
- Professional and industry bodies



ALERT

PROCEEDINGS



- Private prosecution
- Criminal defence
- Inquiries and inquests
- Complaints handling
- Appealing and contesting enforcement notices
- Civil fraud claims and asset tracing

GOVERNANCE



- Culture and conduct issues
- Senior management responsibility and SMCR
- Disciplinary
- Training

HOW WE CAN HELP

WE ARE A DEDICATED AND SPECIALIST TEAM INSTILLED WITH THE PRIZED ADDLESHAW GODDARD CLIENT FOCUSED ETHOS.



EXCELLENCE

Our practice and our lawyers are high profile. We are recognised as a top 100 investigation firm by Global Investigations Review and our lawyers are recognised in Legal 500, Chambers & Partners, Who's Who Legal: Investigations and many others.



VALUE

We provide cost certainty and value. We conduct our work to a high standard and also at the right levels within our team.



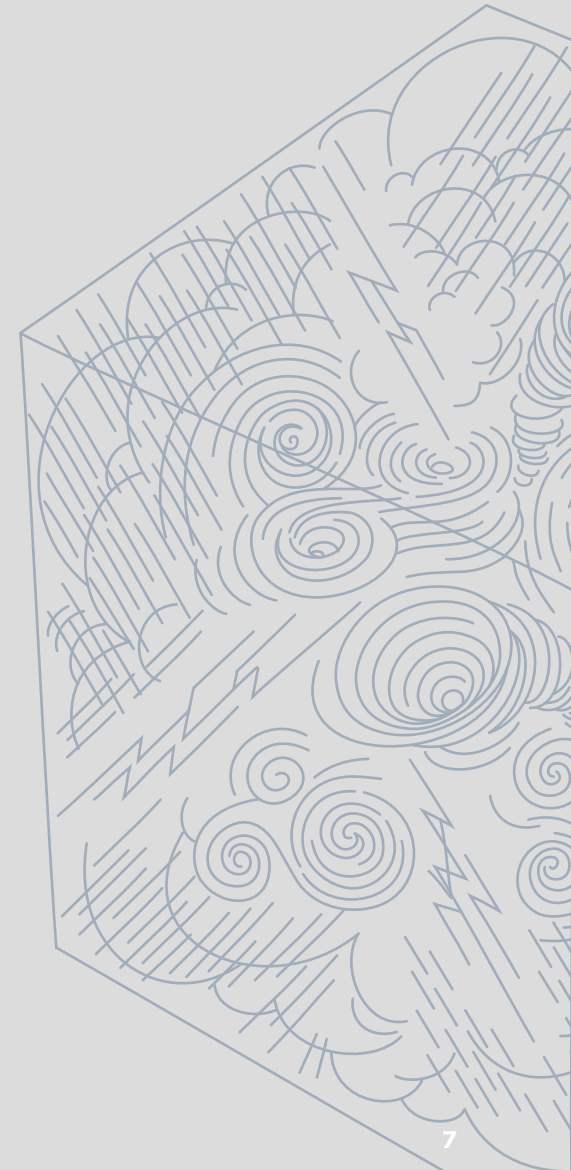
PROJECT MANAGEMENT

We pride ourselves on tight project management, supported by our in-house project managers. We deliver on time, keep our clients up to date and actively manage the legal budget. We look to innovate ways to provide more value for clients.



FULL SERVICE

We are a full service law firm and draw on the specialist skills of our colleagues. We work particularly closely with our financial regulation, employment, reputational risk, data protection and competition teams.



FS INVESTIGATIONS

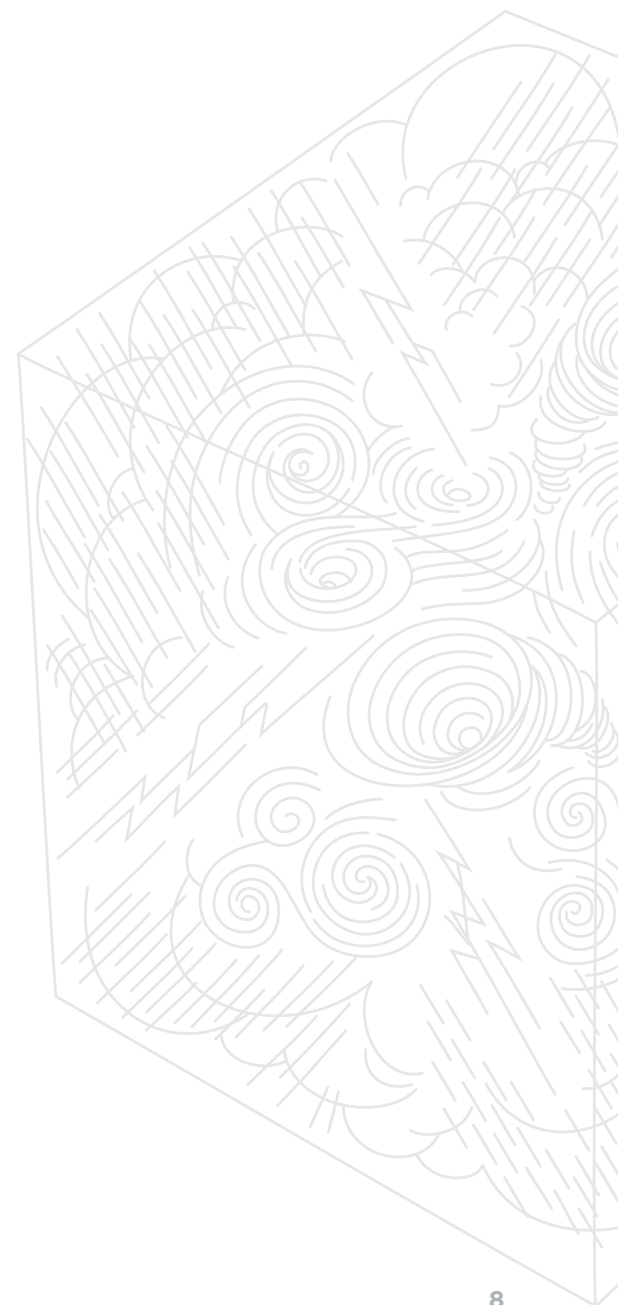
Our specialists have decades of experience in contentious financial services investigations, advising across all sectors of financial services, including banking, asset management, lending and insurance.

They have advised in many of the most high profile investigations by the Prudential Regulation Authority, Financial Conduct Authority and Payment Systems Regulator.

Our team also has deep experience of managing s166 Skilled Persons investigations, conducting internal investigations, remediation and past business reviews, and advising on independent public reviews.

Our expertise includes advising on investigations into:

- Market abuse
- AML systems and controls
- Benchmark manipulation
- Culture, governance and SMCR
- Client money and assets (CASS)
- Complaints handling
- Suitability of investment advice and disclosure of information under COBS
- Conflicts of interest
- Regulated mortgage lending
- Remuneration adjustment under the Remuneration Codes.



HEALTH & SAFETY

Our team has extensive experience advising on all aspects of safety from compliance through to fully contested proceedings. The team includes a mixture of experienced defendant practitioners and former senior prosecutors. We are supported by AG Integrate experts including former senior HSE officers to offer technical and operational insight and support on compliance and issues identified. We routinely act for clients across all sectors including retail and consumer, advanced manufacturing, real estate, transport, energy and utilities.

Our offering includes Public Inquiries - we are involved in three of the most high profile and nationally significant Inquiries of recent times, representing families, corporate organisations and Government bodies. This unique experience gives us a rounded and holistic view on how best to represent and advise our clients.

Our expertise includes advising on investigations into:

- Fatal and/or serious accident investigations by HSE and other regulators
- Corporate Manslaughter investigations
- Inquests and responding to Coroner's Reports Preventing Future Deaths
- Fire safety including changes contemplated by the Building and Fire Safety Bills
- Contesting and appealing enforcement notices
- Advising on powers of search and compulsion
- Representing directors and individuals subject to personal prosecution
- Product safety incidents and advice on product recall
- Food safety incidents including the consequences of exposure to allergens
- Occupational disease incidents and investigations
- DSEAR, COSHH, COMAH and other niche regimes
- Director disqualification risks
- Emerging issues and trends, including novel risks and products
- Supporting Clients in their handling of Public Inquiries and responding to requests for documentation and witness evidence.



PROFESSIONAL DISCIPLINARY

Our team comprises experienced partners who have a successful record defending accountancy firms, auditors and other professionals in FRC, AADB and SRA investigations.

As the professional services regulators seek to sharpen their enforcement tools and emulate the FCA, our cross-disciplinary experience in financial services investigations enables us to stay ahead of these new regulatory enforcement approaches.

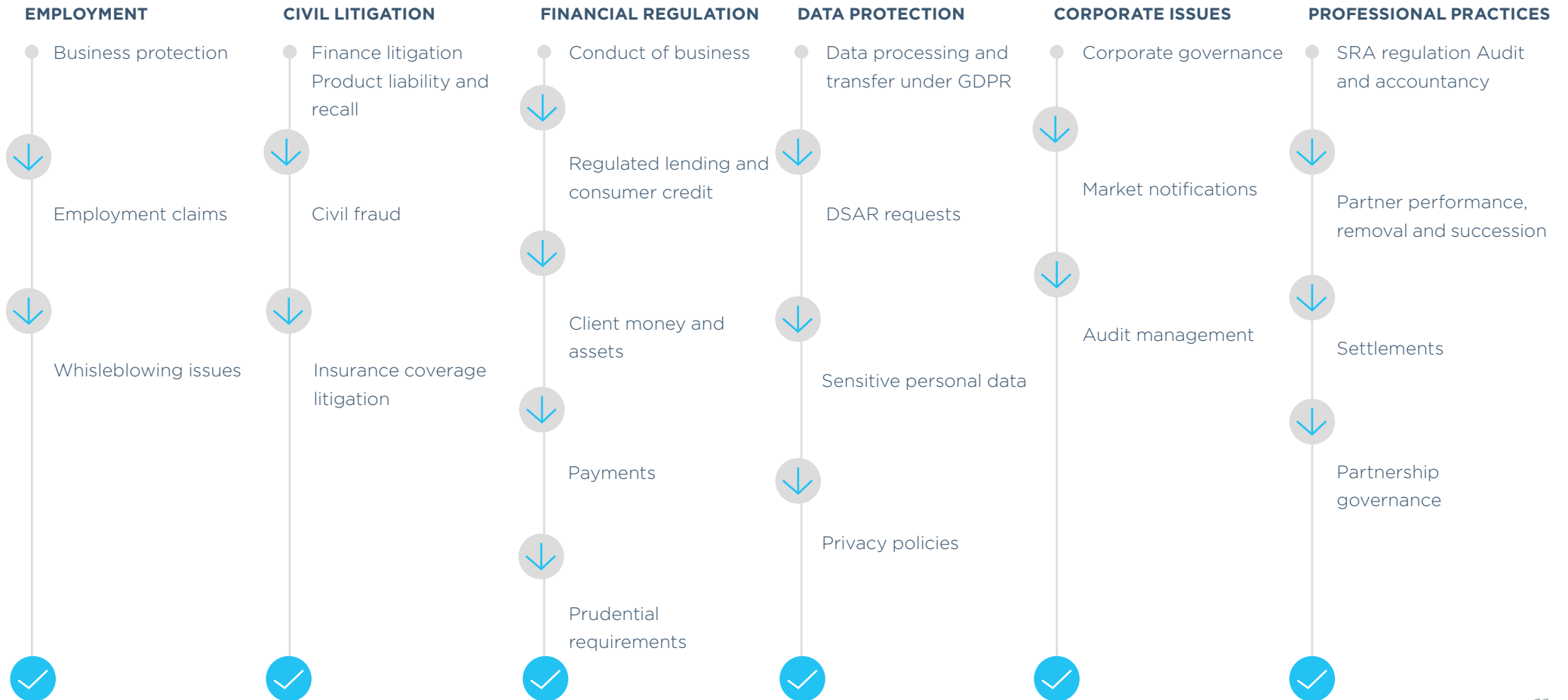
Our specialists' experience includes:

- FRC investigations of auditors and accountants
- Internal investigations into accountancy requirements arising from whistleblowing
- Investigating corporate collapses and advising companies, directors and auditors on regulatory proceedings arising from such instances
- Advising on auditors disciplinary investigations
- Assisting corporates to navigate accountancy regulatory requirements in the context of audits
- SRA investigations
- Sensitive inter-personal investigations.



EVERY LEGAL RISK, COVERED

ADDLESHAW GODDARD'S GLOBAL INVESTIGATION LAWYERS DON'T WORK IN SILOS. **WE HELP OUR CLIENTS** MANAGE ALL OF THE RISKS ARISING FROM CRISIS EVENTS, TO PROTECT AGAINST A THREAT BEING CREATED IN ONE AREA WHILE MITIGATING A RISK IN ANOTHER.

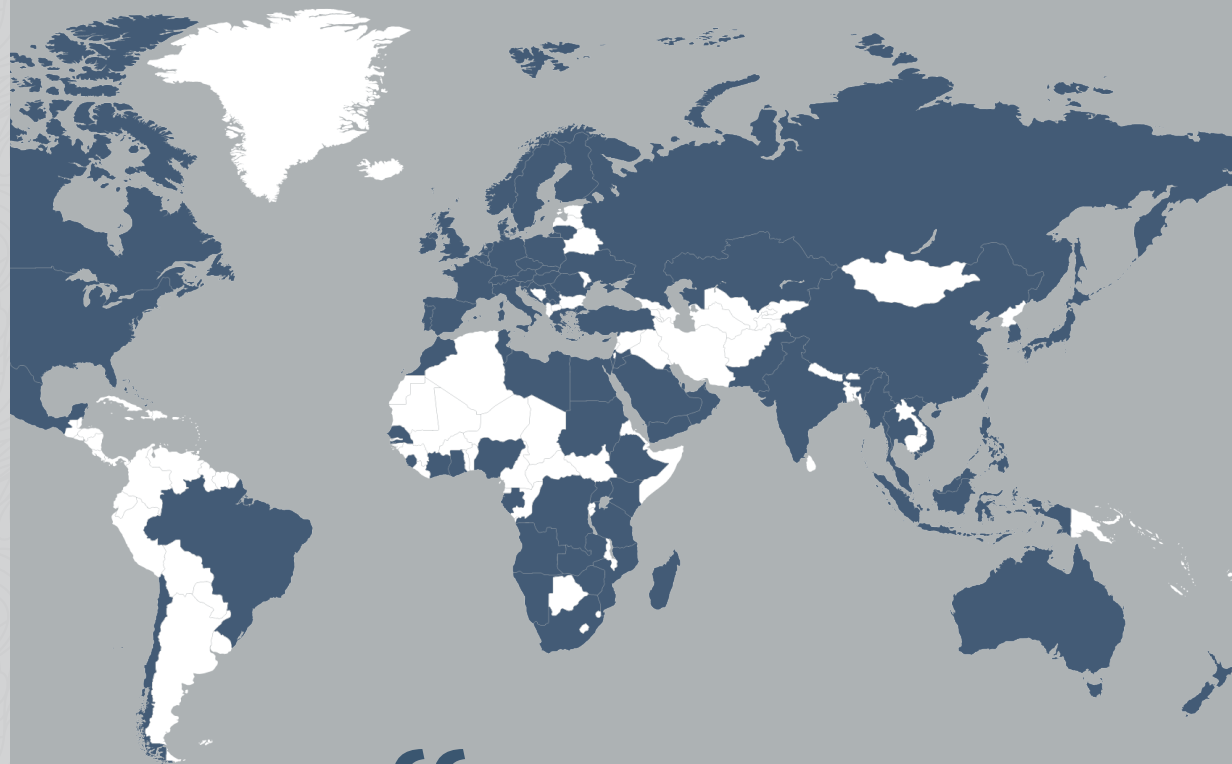


INTERNATIONAL

WE HAVE A STRONG INTERNATIONAL CAPABILITY THROUGH OUR INTERNATIONAL OFFICES, OUR STRATEGIC ALLIANCES AND OUR WORLDWIDE NETWORK OF PREFERRED FIRMS.

IN ADDITION TO OUR UK OFFICES, WE HAVE OVERSEAS OFFICES IN GERMANY, ACROSS THE GCC AND ASIA, SPECIFICALLY IN DUBAI, HONG KONG, OMAN, QATAR AND SINGAPORE.

WE REGULARLY CONDUCT INTERNATIONAL INVESTIGATIONS AND OUR STRONG LINKS WORLDWIDE PROVIDE LOCAL EXPERTISE, CULTURAL AWARENESS, SECTOR KNOWLEDGE AND GEOGRAPHIC COVERAGE.



ADDLESHAW'S TEAM OF HIGHLY EXPERIENCED LAWYERS IS REGULARLY SOUGHT OUT TO ADVISE ON SOME OF THE WORLD'S HIGHEST PROFILE INVESTIGATIONS.

Global Investigations Review (GIR) 100 2016

EXPERTISE YOU CAN RELY ON

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EXPERTISE YOU CAN RELY ON

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**PROBLEMS. POSSIBILITIES.
COMPLEXITY. CLARITY.
OBSTACLES. OPPORTUNITIES.
THE DIFFERENCE IS IMAGINATION.**

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