



White Collar Compliance & Defense

Overview

- Corporate compliance, internal investigations and criminal defense
- Extensive trial experience
- Practice includes former Assistant U.S. District and SEC enforcement attorneys

From health care fraud to securities fraud and public corruption, Fox Rothschild has the experience to guide and protect companies, businesses and individuals in today's rapidly changing and uncertain environment. Clients need attorneys with extensive government and trial experience to provide an aggressive line of defense in alleged financial crimes as well as regulatory procedures and investigations. We have seasoned criminal defense attorneys who have been former federal and state prosecutors including former Assistant U.S. Attorneys, former Assistant Chief of Environmental Crimes section of the Department of Justice and a former SEC enforcement lawyer.

Our White Collar Compliance & Defense Practice is focused in three areas:

• Corporate Compliance

In the current corporate environment, good compliance is no longer an option – it's an imperative. Fox Rothschild attorneys have the compliance experience clients need to ensure that they are on the right track. We offer:

- Compliance risk management strategies and program design
- Risk assessments to target and address critical compliance areas and monitoring programs to manage risk
- International strategies for FCPA compliance
- Training programs and strategies to imbed compliance into your company culture
- Corporate policy assessment
- Compliance investigation support

• Internal Investigations

Today's corporate world places corporations under increasing pressure from law enforcement to self-police and self-report corporate wrongdoing. Our seasoned attorneys can:

- Track and respond rapidly to all stages of an investigation (from subpoena compliance and grand jury practice to the execution of search warrants or the unsealing of criminal indictments and civil fraud complaints)
- Conduct internal investigations to assess compliance issues and to determine whether questionable conduct has occurred
- Provide a complete factual, legal and risk analysis

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"We have the experience and judgment to minimize the risk of prosecution or regulatory sanction, to defend those who are targets of criminal and civil investigations, and to successfully try those matters which require trial."

Patrick Egan & Ernie Badway

Co-Chairs of the White Collar Compliance & Defense Practice



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• Criminal Defense

Complex problems require careful attention and creative solutions. We defend individuals and corporations who find themselves under the scrutiny of prosecutorial, investigative or regulatory government agencies at the federal, state and local levels. We are experienced at fashioning legal teams to fit white collar legal problems, and offer our clients:

- A seasoned group of attorneys who have been former Assistant U.S. Attorneys, former Assistant Chief of the Environmental Crimes Section of the U.S. Department of Justice and a former SEC enforcement attorney
- A tailored approach to each client's individual circumstance, providing a cost-effective, client-centered legal strategy
- The experience to help mitigate the ultimate impact to the individual or business resulting from the investigation or prosecution

Recent Matters

Compliance Audits and Internal Investigations

- Conducted a full audit of an investment adviser and revised compliance manuals, customer agreements and public disclosures
- Conducted an internal investigation of a broker-dealer and reported findings to senior management and ownership
- Conducted internal investigation of a public company related to public corruption
Managed the negotiation and implementation of a Corporate Integrity Agreement

Accounting and SEC Related Matters

- Counseled the CFO of a publicly traded corporation in an earnings management investigation
- Advised a former principal of a major accounting firm being investigated by PCAOB
- Represented a securities broker in SEC and FINRA regulatory investigations and litigation
- Counseled a marketing vice president at a publicly traded company under SEC investigation
- Advised officers and directors of publicly traded companies in an SEC accounting investigation

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- Represented a publicly traded company in SEC No-Action request involving foreign accounting practices

Health Care Related Matters

- Represented a community hospital under investigation for fraudulent Medicare billing
- Advised a surgical instrument manufacturing executive in an FDA and Customs fraud indictment
- Counseled the owner of an Internet pharmacy in a federal grand jury investigation, resulting in declination of prosecution

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