

# Compliance Counseling

We design and implement comprehensive compliance programs on behalf of corporate and nonprofit clients to prevent, detect and rectify misconduct. To meet our clients' business needs, we implement robust training sessions and audit procedures to minimize the risk of future investigations or allegations of wrongdoing. Such compliance programs are often aimed at avoiding violations related to insider trading laws, securities regulations, the False Claims Act (FCA), the Foreign Corrupt Practices Act (FCPA), tax regulations, cybersecurity requirements, environmental regulations and healthcare regulations.

## Our Services

Understanding that reputational risks can mean everything, we take a proactive approach to mitigate risks. We closely follow the twists and turns of the regulatory and legal landscape spanning local jurisdictions to national regimes. With this industry know-how, we also leverage former government experience to devise effective compliance programs, including:

- Audit of internal policies and protocols.
- Design of compliance and ethics programs.
- Risk assessments.
- Employee and management trainings.

### Regulated Financial Services Entities

We provide regulated financial services entities with a comprehensive review of compliance programs, manuals and procedures to ensure compliance with the federal securities laws and related regulations.

### Government-Funded Entities

On behalf of entities that receive government payments or federal grants, we assist in assessing internal programs and activities along with compliance and reporting systems to mitigate risk related to the FCA.

### Healthcare Entities

With a keen understanding of the unique regulatory and oversight requirements, we provide practical advice to healthcare entities regarding compliance with all significant federal and state statutes and regulations, including the Stark and Anti-Kickback statutes, Medicare provider enrollment and recertification, health information privacy laws, regulations governing accountable care organizations (ACOs), the Emergency Medical Treatment and Labor Act (EMTALA) and state laws governing each of these areas.

### Religious, Educational & Nonprofit Organizations

We handle inquiries from schools, religious organizations and other "sensitive locations" regarding potential Immigration and Customs Enforcement (ICE) enforcement actions, educating clients on how to prepare, safeguard rights and respond.

## **Representative Matters**

- Provided compliance counseling for a university seeking guidance on Title IX regulations.
- Provided compliance counseling for a private high school relating to immigration enforcement issues.
- Provided compliance counseling to a company in the financial services industry relating to U.S. Securities and Exchange Commission (SEC) regulations.
- Provided compliance counseling to a medical practice seeking advice on medical billing and FCA compliance.