

# Corporate Compliance Essentials: Effective Corporate Compliance Program Design

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# Internal Investigations Discussion Points

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- 1) Why conduct an internal investigation?
- 2) What are some of the key issues faced when considering whether and how to conduct an internal investigation?
- 3) What are best practices for conducting an effective internal investigation?
- 4) What are we seeing from actual case data from Stanford's database?

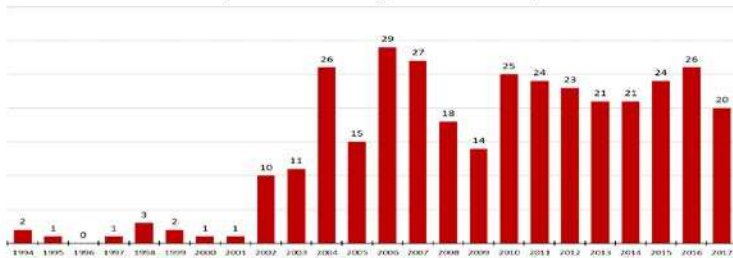


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# FCPA Clearinghouse Data

## Publicly Disclosed Investigations

Publicly Disclosed Investigations Initiated by Year



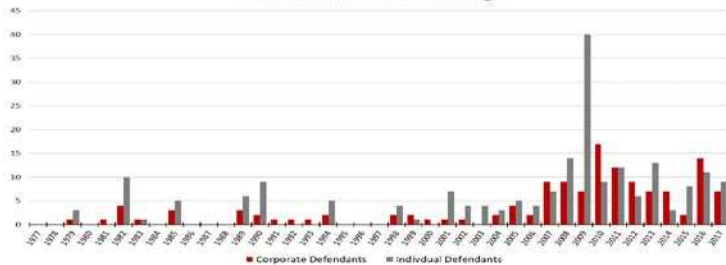
## Total Sanctions (Entity Groups)

Total Corporate Sanctions



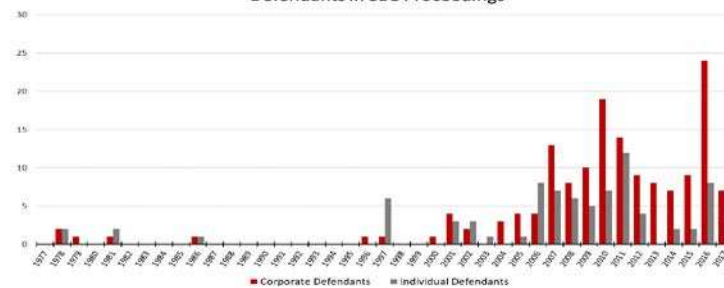
## Entity Groups & Individuals Prosecuted (DOJ)

Defendants in DOJ Proceedings



## Entity Groups & Individuals Prosecuted (SEC)

Defendants in SEC Proceedings



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## Title search: Part 5: Monitoring and Audit

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First appeared as part of the conference materials for the  
2017 LIVE VIDEO WEBCAST Corporate Compliance Essentials (Part 5 and 6) session  
"Part 6: Monitoring and Audit"