

Corporate Compliance Essentials: Effective Corporate Compliance Program Design

Jay Martin

Ryan McConnell

Kristen Savelle

Cara Viglucci



R. McConnell Group PLLC

Internal Investigations Discussion Points

- 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?

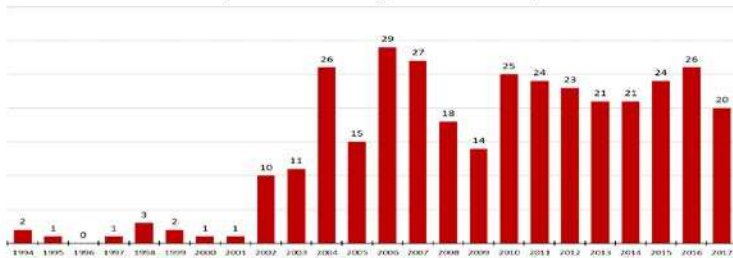


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FCPA Clearinghouse Data

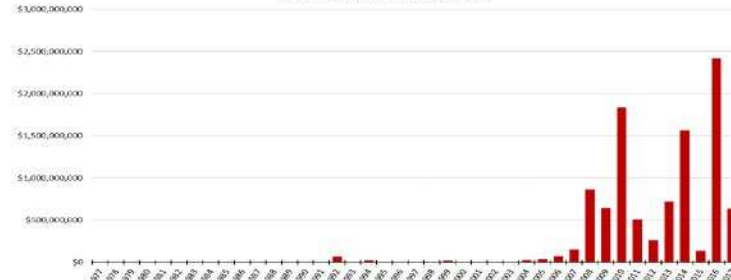
Publicly Disclosed Investigations

Publicly Disclosed Investigations Initiated by Year



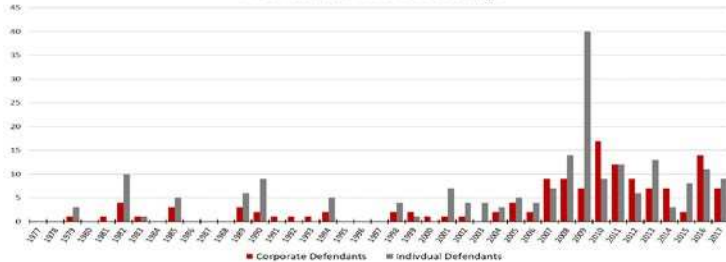
Total Sanctions (Entity Groups)

Total Corporate Sanctions



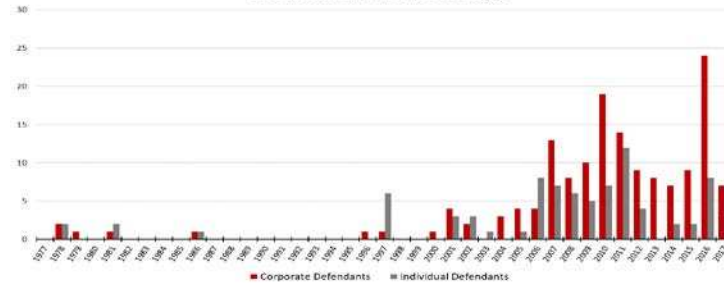
Entity Groups & Individuals Prosecuted (DOJ)

Defendants in DOJ Proceedings



Entity Groups & Individuals Prosecuted (SEC)

Defendants in SEC Proceedings



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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"