

Regulatory Compliance

From our offices in New York, London, Paris, and Washington D.C., C&G provides comprehensive compliance advice to our global clients, including public and private companies, and financial institutions. Members of our team include very experienced former U.S. federal and state prosecutors, former UK and French prosecutors, and defense counsel. We design and implement effective compliance policies and procedures, minimizing the risk of a government investigation or prosecution. If an investigation does take place, we have established relationships that allow us to engage in open dialogue with the relevant regulatory body and address any perceived deficiencies with controls.

We advise on compliance with all aspects of antitrust, corporate governance, economic sanctions, employment, privacy and cybersecurity, securities, tax, and trade regulations. We have extensive experience counseling on matters requiring cooperation with regulators, including the Securities and Exchange Commission (SEC), Commodity Futures Trading Commission (CFTC), Federal Reserve, Office of Foreign Asset Control (OFAC), Fair Trade Commission (FTC), Federal Communications Commission (FCC), Federal Elections Commission (FEC), and Federal Aviation Administration (FAA), in the United States; the financial market authority (AMF), the banking authority (ACPR), and the National Commission on Informatics and Liberty (CNIL) in France; and the Financial Conduct Authority (FCA) and the Serious Fraud Office (SFO) in the United Kingdom; U.S. state regulators, such as the New York Attorney General's Office and the New York Department of Financial Services (NYDFS); as well as self-regulatory agencies including FINRA and the New York Stock Exchange.

Our attorneys advise clients on best practices for the development, implementation, and operation of compliance and business ethics programs, and provide training programs to ensure employee understanding. We assist in the development of procedures to facilitate anonymous reporting to audit committees and prepare for the possibility of whistleblower reporting to international and domestic regulatory bodies.

Our cross-border team is well-versed in overseeing and conducting compliance investigations and due diligence on our clients' behalf, for corporations, boards of directors, special committees including demand committees, and audit committees.

Our Paris team is recognized in *The Legal 500* EMEA's Compliance category, and our U.S. White Collar Defense & Regulation team is consistently ranked in both *Chambers* and *The Legal 500*. Cohen & Gresser was recognized as the *Regulatory Law Firm of the Year* at the Women in Compliance Awards in 2019.