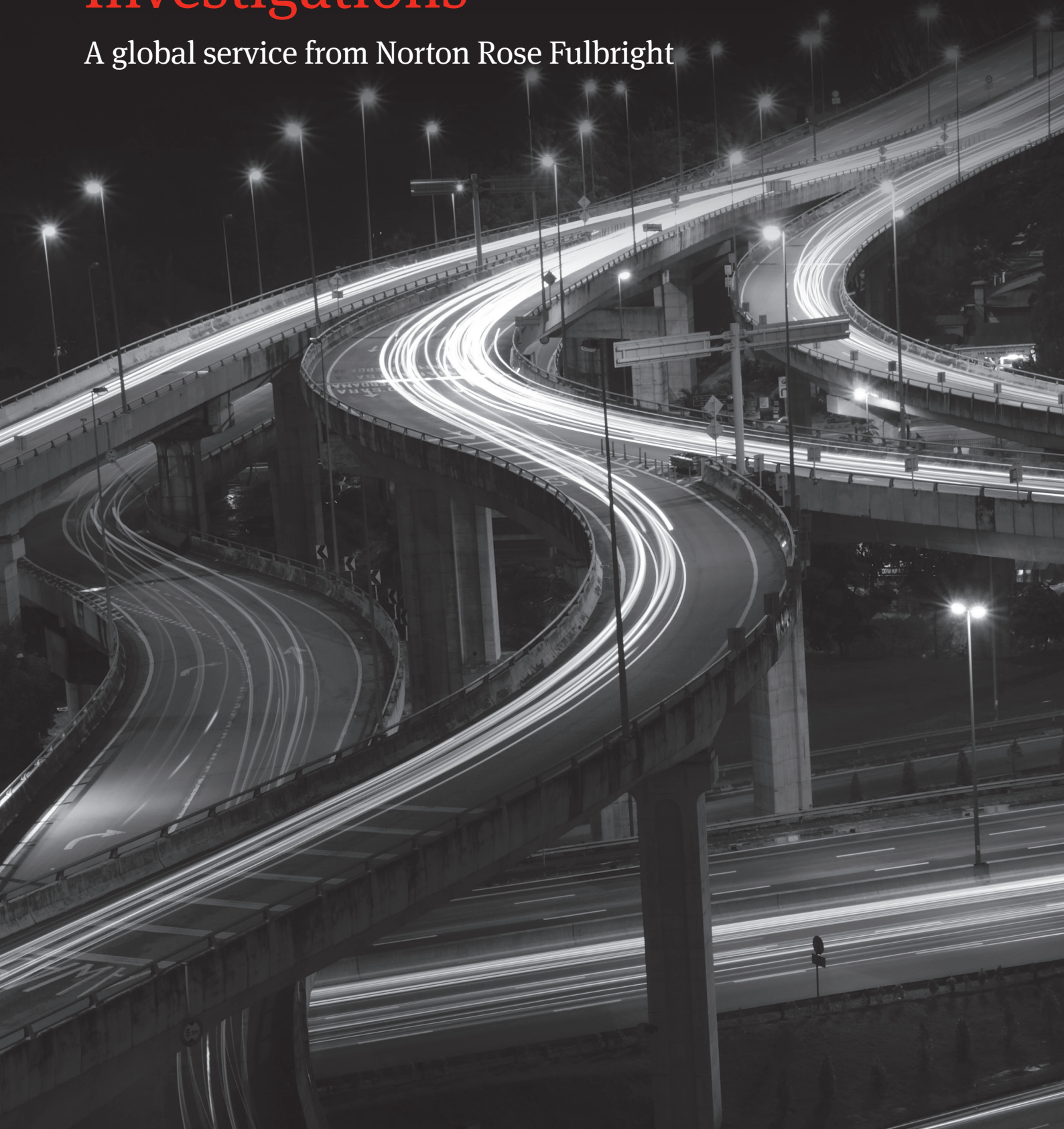


Financial institutions
Energy
Infrastructure, mining and commodities
Transport
Technology and innovation
Life sciences and healthcare

 **NORTON ROSE FULBRIGHT**

Investigations

A global service from Norton Rose Fulbright



Global investigations

Norton Rose Fulbright’s investigations practice assists our clients as they navigate the evolving and increasingly complex global and cross-border regulatory, compliance and government enforcement environment.

The globalization of regulation, including the new reality of information sharing and co-operation in investigations and prosecution proceedings between international regulators requires businesses and their advisers to adopt a co-ordinated, global approach.

Our team of investigations lawyers across the world provides a global service and something extra: ‘connectivity’. We are inter-connected across jurisdictions, across industry sectors, and across regulatory fronts, enabling our teams to advise companies, their boards and senior executives in relation to internal and government-led domestic and multi-jurisdictional investigations and related disputes wherever they arise.

Our investigations lawyers combine significant knowledge of international regulation, industry sector knowledge, cross-disciplinary skills and on the ground resources to provide our clients with a “one-stop” practical solution. Our

experience extends from jurisdictions with an extensive regulatory and enforcement framework, such as in North America, Europe and Australia, to evolving regulatory jurisdictions in Asia, Africa and Latin America.

As a key component of our practice, our global practice support team applies cutting edge technology to identify key documents and facts early in investigations. This assists in developing strategies and priorities, with the further benefit of managing and reducing costs. We create costs savings through flexibility and certainty in pricing.

We have acted on some of the world’s highest profile domestic and multi-jurisdictional investigations. We have strong relationships with regulators across the globe; a number of our lawyers have previously held senior positions in some of the world’s key regulatory bodies, which brings a deep understanding of the working of regulators, the underlying politics which shape the regulators’ approach, and the sensitivities of dealing with regulators in investigations.

Holistic approach to risk



Areas of advice

- Antitrust and competition
- Business ethics and anti-corruption including FCPA and UK Bribery Act
- Commodities and derivatives
- Data privacy
- Electronic discovery
- Environment
- Financial services regulation
- Fraud
- Government investigations and enforcement
- Health and safety
- Internal investigations
- International trade, sanctions and export controls
- Sector and utilities regulatory investigations
- Securities fraud
- Tax investigations and disputes
- White collar crime

More than 50 locations, including Houston, New York, London, Toronto, Hong Kong, Singapore, Sydney, Johannesburg, Dubai.

Attorney advertising

Track record

Financial institutions

We are acting for the senior executive of a global financial institution on a high-profile transnational regulatory investigation involving the US Department of Justice (DOJ), UK Financial Conduct Authority, US Securities and Exchange Commission (SEC) and related proceedings in Spain.

We are acting for a bank in relation to the European Commission's ongoing competition investigation of alleged manipulation of EURIBOR (Euro Interbank Offered Rates).

Advising a global bank in relation to anti-money laundering issues and reporting obligations across multiple jurisdictions including in Europe and Asia.

Advising a global financial institution in connection with an FCA and SEC investigation arising out of a complex oil financing transaction that took place in Latin America.

Energy

We advised an oilfield services company in an extensive FCPA investigation involving allegations of corruption in Indonesia and Singapore following which the DOJ confirmed its decision not to bring a prosecution.

We advised a UK-listed energy company in multi-jurisdictional investigations and potential claims arising from international bribery issues in connection with overseas oil production sharing agreements and fraud allegations. Investigations involved the US Department of Justice, US Securities and Exchange Commission and the UK Financial Services Authority.

We represented a global energy producer in connection with multi-jurisdictional regulatory enforcement proceedings arising out of the restatement of oil reserves.

We represented a major international energy services company in a multi-jurisdictional and cross-border investigation involving alleged corruption and breaches of international sanctions and export control compliance. This matter involved multiple US regulators including the DOJ, SEC, United States Attorney's Office and the US Office of Foreign Assets Control.

We represented an oil and gas company in a cross-border CFTC investigation involving allegations of manipulation and fraud in crude oil markets.

Conducting an internal investigation for an international oil and gas company operating in Indonesia concerning the embezzlement of company funds which may lead to violation of Indonesian anti-corruption law and investigation by the authorities.

Infrastructure, mining and commodities

We conducted a due diligence investigation on a potential joint venture partner for an international company related to its mining business.

We recently represented an individual in a criminal prosecution brought by the UK Serious Fraud Office (SFO) concerning allegations of corruption following an investigation undertaken by the SFO in cooperation with the DOJ and several EU countries, and continue to advise him in relation to ongoing multi-jurisdictional proceedings. In December 2013, after a month of hearings in a UK Crown Court jury trial, the SFO, with the agreement of the Attorney General, decided to drop the case against our client after considering the evidence following our detailed cross examination of the prosecution witnesses and he was acquitted of all charges.

Representing a Montreal-based global engineering company in connection with fraud and corruption allegation. This is considered to be one of the most high-profile corruption cases against corporations and will set new precedents in the way corruption cases against corporate entities will be handled in Canada.

Transport

We are representing a number of corporates in Australia, Asia, Canada and the EU in a global investigation on the supply and sale of certain motor vehicle components, including the preparation and negotiation of leniency applications and the defence of follow-on class actions.

We are assisting a leading Asian carrier in a worldwide cartel investigation and follow-on class actions, including with respect to investigations in the EU, several EU Member States, the US, Canada, Japan, Korea, Australia and South Africa.

Life sciences and healthcare

We advised a multinational medical device company in a five-year FCPA investigation that spanned South America, Europe, Asia and Australia following which the DOJ confirmed its decision not to bring a prosecution.

We are representing a major healthcare company in an FCPA investigation related to corruption activities in Europe, Asia, Australia, and the Americas.

Advising a global health care company in an internal investigation in relation to misbranded medical products. We also advised the client on the need to voluntarily disclose the discovered facts to regulatory bodies in numerous countries. These disclosures led to a formal governmental enquiry in one Asia-Pacific jurisdiction against the former owners of the subsidiary, which is still pending.

Technology and innovation

We advised the subsidiary of a world-leading defence contractor in significant multi-jurisdictional investigations which led to significant civil and criminal trials in relation to cross-border export control and sanctions issues, including investigations by the DOJ, SFO and Her Majesty's Revenue & Customs.

Representing an executive of a Japan-based global manufacturing company which is currently under investigation for various alleged violations of US laws, including the FCPA.

Advising a US-based manufacturer in conducting an FCPA with the management at their facilities in Thailand and China.

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