



# COMPASS

Governance and Compliance Roadmap



# WHAT IS COMPASS?

Effective compliance begins with an independent and realistic assessment of the legal, compliance, governance, and reputational risks that could threaten your company. COMPASS is an integrated, enterprise-wide approach that analyzes these risks, and provides you with a roadmap to ensure that your company is prepared to fulfill its ethical and legal obligations on behalf of its shareholders, employees and customers. Through interviews, surveys and a review of key documents and procedures, we will assess the current state of your company's compliance program, compare it to industry benchmarks, assess its effectiveness and suggest necessary enhancements.

In today's era of unprecedented regulatory scrutiny, virtually every company – large or small, publicly traded or private – will one day confront a potentially damaging situation: a regulatory inquiry; an aggressive enforcement proceeding; a congressional oversight investigation; whistleblower claims; shareholder activism; and high-exposure class action litigation. We collaborate with boards of directors, senior management teams; in-house counsel, and compliance professionals to develop a holistic compliance plan – a level of protection that many companies find difficult, if not impossible, to generate without outside assistance. Our review, analysis, recommendations, and implementation are communicated under the protection of the attorney-client privilege.

## COMPASS' THREE PHASES

### Phase I

We assess the effectiveness of your company's corporate governance and compliance program through a series of targeted questions and a review of key policies and procedures. By comparing the results of this assessment to industry best practices using DLA Piper proprietary software, we are able to benchmark your company's corporate governance and compliance program to industry peers and identify key risks and areas for enhancements.

### Phase II

Working with you, we create an Action Plan to incorporate the recommended enhancements identified during Phase I. This Action Plan will outline a company-specific roadmap for implementing the proposed recommendations. This includes specific milestones, timelines, and examples.

### Phase III

We assist you in implementing the Action Plan, and then verify its execution.

## **WHO BENEFITS FROM COMPASS?**

Boards of directors. Shareholders. Senior management. Employees. Every corporate stakeholder benefits immeasurably when a company can demonstrate that it has embraced best business, compliance and governance practices, is resolutely committed to effective self-policing and responsible self-reporting, and has instituted prudent and transparent measures to mitigate risks. A properly performed compliance risk assessment and protection strategy allows a company and its directors and officers to, in a very real sense, improve the factual record by identifying risks early and demonstrating that appropriate precautions were taken and best practices were implemented. In such circumstances, the misconduct of rogue employees is far less likely to inflict institutional harm. It is easier to defend something that happened despite robust policies and procedures than to defend something that goes wrong when they are lacking.

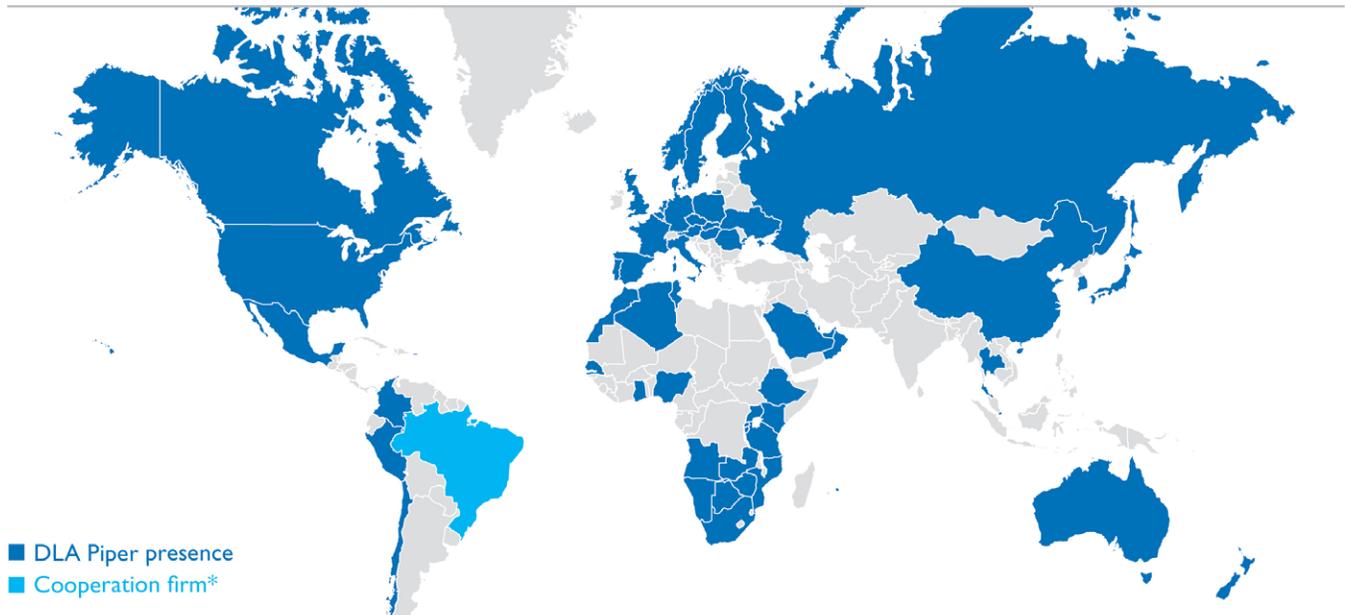
## **THE COMPASS TEAM**

Leading this effort is Stasia Kelly, a partner at DLA Piper and the former Vice Chairman in charge of global legal, compliance and regulatory functions, government relations, communications, corporate affairs and human resources at American International Group, Inc. (AIG).

Stasia, and a team of lawyers from various global practices including, White Collar, Corporate Crime and Investigations, Corporate and Finance, Regulatory, Public Company and Corporate Governance, and Commercial Litigation, make up a multi-jurisdictional team that has years of experience managing global compliance and governance projects.

## **GLOBAL REACH LOCAL EXPERIENCE**

DLA Piper is one of the world's most geographically widespread legal service providers, capable of providing legal service to our clients virtually wherever they need it across the US, UK, Continental Europe, the Middle East, Asia Pacific and Africa. Beyond our global reach, the strength of our practice areas worldwide is virtually unmatched. Our ability to effectively and efficiently work in cross-border, cross-practice teams across our global platform is one of our significant strengths. Our successful management of complex matters has become a norm for which we take great pride, as the foundation for this success can be found in the commitment of dedicated client managers.



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ABOUT US

DLA Piper is a global law firm with lawyers located in more than 40 countries throughout the Americas, Europe, the Middle East, Africa and Asia Pacific, positioning us to help clients with their legal needs around the world.

FOR MORE INFORMATION

To learn more about DLA Piper, visit [www.dlapiper.com](http://www.dlapiper.com) or contact:

**Stasia Kelly**  
 Managing Partner (Americas)  
 Chair, Global Governance  
 and Compliance  
 T +1 202 799 4239  
[stasia.kelly@dlapiper.com](mailto:stasia.kelly@dlapiper.com)

**Keara Gordon**  
 Partner  
 T +1 212 335 4632  
[keara.gordon@dlapiper.com](mailto:keara.gordon@dlapiper.com)

**Brian Benjet**  
 Partner  
 T +1 215 656 3311  
[brian.benjet@dlapiper.com](mailto:brian.benjet@dlapiper.com)

**Brett Ingerman**  
 Partner  
 T +1 410 580 4177  
[brett.ingerman@dlapiper.com](mailto:brett.ingerman@dlapiper.com)