

## WHITE COLLAR & SECURITIES

# Building the Facts to Unravel Complex Situations

Enforcement activity by government regulators and self-regulatory organizations in the white collar and securities areas is increasing, and the stakes are higher than ever, including record-setting fines and penalties, potential criminal and civil liability for organizations and the individuals who control them, and public backlash when violations are uncovered. Ankura's professionals have extensive public-sector experience working at these enforcement authorities, possess the sophistication to navigate these complex matters, and can operate confidentially and discreetly while offering sound strategic advice and pragmatic solutions.

## SOLUTIONS

Ankura's professionals assist company boards, senior management, legal counsel, and government agencies in addressing allegations of complex white collar crime and securities schemes. Ankura has a demonstrated record of success deploying the full spectrum of its investigation, audit, compliance, and advisory capabilities to help clients understand the relevant issues, evaluate options, and successfully resolve the most complex and high-profile matters. Additionally, Ankura professionals seamlessly partner with outside and in-house counsel to conduct internal investigations, respond to government inquiries, and manage criminal and civil litigation.

Ankura's white collar and securities team integrates the experience of former investigators, prosecutors, and senior government officials — from the Department of Justice, the Federal Bureau of Investigation, the Securities and Exchange Commission, the Commodity Futures Trading Commission, the Public Company Accounting Oversight Board, the Department of Defense, and other federal and state agencies — with the perspective of former in-house investigative and compliance personnel for Fortune 50 companies. In addition to the subject-matter expertise that Ankura brings to bear, our team applies cutting-edge technology, forensic tools, and data analysis to enable sophisticated, comprehensive, and efficient solutions.

## HOW WE HELP

-  **Anti-Corruption and Anti-Money Laundering**  
Investigate and resolve anti-corruption and anti-money laundering matters, including those involving the FCPA and the UK Bribery Act, across a wide array of industries
-  **Insider Trading**  
Investigate internal controls, and develop customized algorithms and tools to identify insider trading events
-  **Tax Fraud**  
Utilize a multidisciplinary team of forensic accounting and investigations professionals to assist organizations and individuals impacted by allegations of tax fraud
-  **Whistleblower Matters**  
Objectively evaluate allegations of impropriety, and develop and implement anti-reprisal/retaliation compliance programs
-  **Internal Investigations and Reviews**  
Comprehensive investigative and review services across the full spectrum of industries and issue areas
-  **Forensic Evidence Collection and Analysis**  
Forensically collect evidence and apply eDiscovery and analysis tools and expertise
-  **Forensic Accounting Analysis**  
Apply forensic accounting expertise to financial investigation issues, including reconstruction of books and records

## WHITE COLLAR & SECURITIES

### REPRESENTATIVE ENGAGEMENTS

#### Financial Institution Investigation

Ankura was retained by the independent audit committee of a large financial institution to perform an internal investigation with outside counsel and to assist in responding to the SEC and the DOJ concerning allegations of improper fees charged to customers. Ankura professionals deconstructed the proprietary trading systems and computer code to provide clear explanations of the complex details surrounding the trading process, the data captured, and the functionality of the custom computer software. Ultimately, Ankura analyzed the scope of the fees at issue and the customers affected, and the results of the investigation were reported to the audit committee as well as to the SEC, the DOJ, and the FBI.

#### US Medical Device Manufacturer Investigation

Ankura was engaged through outside counsel by a multi-billion-dollar US medical device manufacturer to conduct an internal investigation relating to allegations of inappropriate acceleration of revenue recognition facilitated by alleged falsification of documents and collusion with third parties. Ankura's team assisted outside counsel in voluntary disclosure strategies and negotiations with SEC staff concerning investigative findings, as well as other unintentional misstatements, potential Foreign Corrupt Practices Act violations, and internal control implications.

#### Bernard L. Madoff Ponzi Scheme

In response to the largest reported Ponzi scheme in US history, a trustee was appointed under the Securities Investor Protection Act for the liquidation of Bernard L. Madoff Investment Securities. Ankura personnel have been intimately involved since 2008 in assisting the SIPA Trustee with the necessary investigation, forensic accounting, and complex financial and enterprise data analytics.

### THE ANKURA DIFFERENCE

The Ankura team comprises former investigators, prosecutors, and senior government officials who analyze white collar and securities matters from the perspectives of both the government and the businesses and individuals faced with allegations of wrongdoing. Ankura's seasoned and diverse team of professionals has handled some of the most high-profile and high-stakes white collar and securities matters in recent history. Ankura utilizes its multidisciplinary capabilities and collaborative approach to partner with clients to fully assess risk and deliver workable, customized, and pragmatic solutions.

### GET IN TOUCH

Marc-Philip Ferzan  
mark.ferzan@ankura.com  
+1.202.524.8369 Direct

Martin Wilczynski  
martin.wilczynski@ankura.com  
+1.202.481.1326 Direct

### ABOUT US

Ankura is an expert services firm defined by *HOW* we solve challenges. Whether a client is facing an immediate business challenge, trying to increase the value of their company or protect against future risks, Ankura designs, develops, and executes tailored solutions by assembling the right combination of expertise. We build on this experience with every case, client, and situation, collaborating to create innovative, customized solutions, and strategies designed for today's ever-changing business environment. This gives our clients unparalleled insight and experience across a wide range of economic, governance, and regulatory challenges. At Ankura, we know that **collaboration drives results.**