

Advisory Services

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Companies doing business across the globe today operate in a more challenging environment than ever before. A new emphasis on individual prosecutions, as well as increased liability for the actions of third-parties, have further raised already high stakes for non-compliance. As regulators scrutinize business conduct against industry, sector, and various government agency standards, organizations need an extended, multidisciplinary team to stay one step ahead.

With Advisory Services powered by StoneTurn, clients tap into a team of on-demand experts for help successfully navigating pre- and post-incident compliance matters. Led by a former federal prosecutor and Chief Compliance Officer with more than 20 years of experience, our advisers look beyond the numbers to enable companies and their counsel to prevent and detect misconduct; mitigate fines and penalties; rehabilitate injured relationships; regain trust; recoup losses; and protect the professional careers and reputation of members of the board, management, and ethics and compliance, legal and internal audit departments.

In addition to our core advisory service offerings — Risk Assessments, Compliance Program Review and Enhancement, Third-Party Compliance Program Development and serving as a Global Compliance Adviser — StoneTurn brings deep expertise to assist organizations with a wide array of compliance-related services, including:

- **Post-transaction assessment and compliance program integration**
- **Data analytics, transaction monitoring and controls assessment**
- **Compliance structure, governance and culture assessments**
- **Compliance remediation; Compliance training**
- **Internal and government-initiated investigation support**
- **Disclosure and reporting**
- **Boards of Directors and Audit Committee presentations and reporting (including Board roles and responsibilities)**
- **Pre- and post-deal due diligence**

Turn to us to:

- Identify and mitigate third-party legal, business and reputation risks;
- Assess and address potential compliance program vulnerabilities;
- Develop or remediate third-party compliance programs to minimize risk;
- Provide proven insights, based on our deep industry and international expertise

How We Help

Identify

Risk Assessments

Understanding your risk profile is essential for creating and maintaining an effective compliance program and minimizing reputational, financial and legal threats to your organization. Our experienced advisers provide a cost-effective and business-minded approach to identify and assess key risks areas, evaluate existing risk mitigation measures, and recommend program enhancements to minimize residual risks. Risk assessments can be tailored to your organization's key compliance risk areas, from specific business lines or geographies to enterprisewide evaluations.

Analyze

Compliance Program Review and Enhancement

Gaps in an organization's compliance program may lead to violations of applicable laws and regulations, codes of conduct, or organizational standards of practice. Closing these gaps is essential to minimize the risk of costly investigations, fines, and reputational damage. Our advisors identify and assess potential vulnerabilities that could lead to such violations, then assist with the design and implementation of an effective compliance program. Led by a former federal prosecutor and Chief Compliance Officer, our advisors provide practical guidance based on your organization's specific risks and needs.

Remediate

Third-Party Compliance Program Development

The past few years have seen an increase in enforcement actions against companies that fail to monitor and control contractors, agents, vendors, service providers and other third parties. Our advisers help companies develop programs to minimize risks posed by illegal, unethical or unmonitored third-party conduct. After evaluating your organization's existing compliance framework, we help create or augment existing policies, procedures and controls to evaluate and effectively oversee third-party business partners, and provide specific recommendations for ongoing program implementation and improvements.

Enhance

Global Compliance Adviser

When a crisis hits, swift and decisive action is critical to minimizing negative impact. The StoneTurn team can also serve as an on-call Global Compliance Adviser to help you quickly restore both Board and investor confidence within a proven compliance framework. On business-as-usual matters, the Global Compliance Adviser offers clients as-needed insights on specific compliance risk areas and issues as they arise (i.e., FCPA, third-party diligence, etc.) In this way, we help already overloaded internal audit and compliance teams stay current on the latest regulatory developments and industry best practices without the need to permanently add to staff.

StoneTurn

A global advisory firm that assists companies, their counsel and government agencies on regulatory, risk and compliance issues, investigations and business disputes.

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A global SaaS company that strives to drive ethics to the center of business for a better world.™

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