

# A Holistic Approach To FCPA Compliance



**POLARIS**  
CORPORATE RISK  
MANAGEMENT

## **A COMPREHENSIVE APPROACH TO FCPA INCIDENT PREVENTION & REMEDIATION**

With over 50 years of global security and investigations experience, Polaris is an industry leader in the corporate risk management space. In those decades of industry experience, the Polaris team has developed a global asset matrix that enables us to successfully harness local resources in over 85 countries – a vital element of any successful FCPA compliance and security program.

Polaris' FCPA experience offers a range of relevant examples, from shorter inquiries into allegations against rogue employees or vendors, to multi-year investigations assessing every level of a client's internal compliance and approval procedures. In addition to post-action expertise, Polaris has significant experience with FCPA violation prevention, mitigation, investigations and management.





# UNDERSTANDING YOUR RISKS

An understanding of your FCPA risk profile – your company’s vulnerabilities, compliance history, and partners – means reduced risk of incidents, and control in the event of non-compliance. Polaris will help you review and augment your FCPA controls, while uncovering current vulnerabilities or past incidents.



## FCPA Vulnerability Assessment

Though FCPA incidents have caught major companies off-guard, these incidents can be anticipated with proper attention and analysis. Polaris will help identify patterns of FCPA risk in your industry or location, working with you to address the vulnerabilities most common in companies like yours – before any misdeeds actually occur.



## Historical Risk Audit & Self-Reporting

To better account for present or future risks, you need an understanding of your risk history. Polaris will analyze your books and records for subtle red flags that may have gone undetected, giving you the option to remediate internally or self-report any issues – resulting in a more favorable legal outcome. Known prior incidents will also be re-assessed, to ensure that affected or nearby facilities have progressed their compliance program.



## Sub-Contractor or Partner Due Diligence

You’re only as compliant as your least compliant partner; it is vital that you can trust your business partners. Polaris will conduct a pre-contract screening to reduce your liability exposure and maximize your compliance, with deep-dive due diligence investigations customized to focus on areas of particular concern or industry risk.



# RESPONDING TO FCPA INCIDENTS

If you find yourself embroiled in an FCPA matter, you will need an investigations firm that can pull usable intelligence from various sources, markets and industries. Polaris has the reach and capacity to take your investigation where it needs to go – be it foreign countries or the courtroom – with a proven ability to uncover usable information.



## Sophisticated Investigative Methods

Polaris' methods are practiced and practical, delivering real-world solutions keyed to your needs. Our FCPA capabilities are far-reaching, with approaches including due-diligence inquiries into relevant personnel, surveillance, exhaustive reviews of public and private records, deep & dark web screenings, and advanced online media analyses.



## Global Reach, Local Delivery

FCPA cases are global in nature, demanding strategies built on international assets and experts who understand the varying political, legal and social dynamics of their target countries. Polaris' network includes on-the-ground personnel in over 85 nations, all equipped with a practical understanding of their respective regions.



## Courtroom-Ready Intelligence

Uncovering information is only half the battle, as the legal complexity of FCPA matters requires investigators that can both find and frame intelligence with an eye to how information is used in the courtroom. Polaris' FCPA investigations are quarterbacked by investigators with legal backgrounds, to maximize the efficacy of our findings.





# CASE STUDY

Anti-Corruption Program Compliance Audits enable companies to uncover and remediate nascent issues – before those issues rise to the level of criminal activity, civil liability or regulatory action.

During one such audit, Polaris and strategic partner Ethics Suite reviewed financial information for a company in South America to ensure that expenditures for government-related services were accurately recorded in the company’s books and records. The team analyzed all disbursements, and was troubled to find multiple red flags – namely, keywords for potentially improper payments. Recorded reimbursement requests included cash payments to police officials for “police motivation.” The invoices presented for reimbursement, moreover, did not match the expense report’s descriptions, instead listing “security barriers.”

These discrepancies demanded an in-depth investigation into the company’s payments to government entities. This investigation, in turn, revealed multiple instances of the entity’s security staff requesting large police presences, to ensure the safety of those in their organization in more drastic situations. The security team’s swift decisions left the company vulnerable to possible regulatory action, and, as such, Polaris and Ethics Suite recommended sweeping policy and procedure changes, swift remedial action with employees and personnel training sessions on all policy and procedure changes.

Ultimately, the company adopted all of these recommended changes. The audit, and the subsequent investigation, informed the company’s decision not to self-report. They cited their confidence that they are armed with all the information they need to respond to a regulatory request on these issues, should one occur.

## Global Reach

With multiple domestic and international offices, Polaris is local to you.





# POLARIS

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Our founders come from some of the most prominent providers of risk assessment services. Polaris' expertise and key services include Crisis Management, Investigations, Protective Services, Travel Security and Global Intelligence.



## Steve Ward

### CEO

As CEO of Polaris, Mr. Ward addresses the security vulnerabilities that arise when conducting business in a global environment. Along with a broad spectrum of investigative services, he provides focused expertise in Brand and Intellectual Property Protection, and Corporate Compliance Services. Mr. Ward supervises enterprise security programs for mid-size to large-scale multinational organizations, delivering integrated service models for Guard Force Management, Investigations, Supply Chain Security and Global Risk Ratings.

Mr. Ward is an active member of the International Trademark Association, the Association of Certified Fraud Examiners, the Anti-Fraud Network, the American College of Forensic Examinations, and the Forbes New York Business Council. He holds a B.S. in Political Science from the State University of New York at Binghamton, a Certification in Trademark and Patent Law from New York University and a Certification in Cybersecurity Managing Risk Information & Data from Harvard University.



## Laura Bolger

### Managing Director of Investigations

As Managing Director of Investigations and Intelligence, Ms. Bolger helps clients manage the full lifecycle of investigations; she oversees the process from its start – as she scopes matters to target the client's concerns – to its finish – as she ensures that the team's investigative work and deliverables are properly contextualized and poised to directly address the client's needs. Ms. Bolger conducts investigations in several practice areas, including brand protection and intellectual property, as well as pre-employment, transactional or litigation-related due diligences, and multifaceted support for FCPA matters. In addition to investigative work, she has managed corporate and event security programs for mid-to-large scale multinational organizations to deliver domestic and international threat response.



Polaris is proud to offer FCPA services in strategic partnership with **Ethics Suite**.

Ethics Suite helps businesses identify, investigate and resolve alleged wrongdoing, providing a comprehensive solution for internal whistleblower reporting and workplace misconduct, fraud, or theft tracking. Ethics Suite also provides expert support for internal investigations and ethics and compliance-related consulting services. Ethics Suite's expertise powers and compounds Polaris' compliance offerings, as their services limit your company's FCPA risks, and maximize your control over any incident.



## Tricia Fratto

### General Counsel of Ethics Suite

As a co-founder of Ethics Suite, Ms. Fratto provides clients with a full range of legal-compliance consulting services. Ms. Fratto began her legal practice at two of the world's largest law firms as a white collar litigator, with particular focus on internal and government facing investigations, including multi-jurisdictional FCPA matters. Ms. Fratto further developed her investigative and compliance capabilities during her tenure as Director of Global Investigations at Starwood Hotels and Resorts. There, she provided oversight of the company's worldwide anti-corruption and anti-bribery investigations, designed and implemented protocols and policies, developed and conducted training programs, and advised on remediation plans. Ms. Fratto is a 2005 graduate of Fordham University's School of Law.

Ms. Fratto's background in law and experience in international investigations uniquely position her for leadership in the FCPA field – a field that demands a working knowledge of varied global markets, as well as ability to frame investigative findings for use in the courtroom.



## Juliette Gust, CFE

### President of Ethics Suite

Having personally conducted or led more than 1,500 investigations in 75 countries, Ms. Gust – co-founder and president of Ethics Suite – has proven herself an able compliance officer and investigator with the international pedigree necessary to spearhead complex global FCPA matters.

Ms. Gust previously served as the Director of the Fraud & Investigations team for a global Fortune 500 company, and as Project Manager and core member of that company's Anti-Corruption compliance program. Her team led the development of a best-in-class global anti-corruption risk assessment, audit plan, and third-party due diligence program. Ms. Gust has also provided advisory services to a diverse clients as a Manager and subject matter specialist within PwC's Regulatory, Forensics, and Hospitality practices, where she led investigations and engagements in the U.S. and abroad on a variety of matters, including anti-money laundering, anti-corruption and anti-bribery, embezzlement and financial statement fraud. She has presented findings and recommendations before executive boards, government regulatory agencies and audit committees in response to regulatory enforcement actions. Ms. Gust has been a Certified Fraud Examiner since 2007.



# CONTACT US

If you're concerned about your company's FCPA risk exposure, or need investigative assistance in response to an FCPA incident, reach out.



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Relentless.

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