

**THE FOREIGN CORRUPT PRACTICES ACT HANDBOOK:
A PRACTICAL GUIDE FOR
MULTINATIONAL GENERAL COUNSEL,
TRANSACTIONAL LAWYERS AND
WHITE COLLAR CRIMINAL PRACTITIONERS**

Contents

- CHAPTER 1 FOREIGN CORRUPT PRACTICES ACT OVERVIEW**
- I. HISTORICAL PERSPECTIVE AND FCPA HANDBOOK PREVIEW
 - II. THE FCPA'S ANTIBRIBERY PROVISIONS
 - III. RECORD-KEEPING AND INTERNAL CONTROLS
 - IV. CONSPIRACY AND OTHER FEDERAL STATUTES USED BY THE FRAUD SECTION OF THE CRIMINAL DIVISION IN FCPA ENFORCEMENT
 - V. LEGAL DEFENSES TO THE FCPA
 - VI. FIFTEEN IMPORTANT PRELIMINARY QUESTIONS
 - VII. ADDITIONAL RESOURCES
 - VIII. NOTES
- CHAPTER 2 PENALTIES, FINES, AND OTHER SANCTIONS**
- I. CRIMINAL PENALTIES
 - II. CIVIL PENALTIES
 - III. NON-MONETARY SANCTIONS
 - IV. COLLATERAL LITIGATION
 - V. ADDITIONAL RESOURCES
 - VI. NOTES
- CHAPTER 3 GLOBAL ANTI-CORRUPTION CONVENTIONS AND LAW ENFORCEMENT**
- I. THE ORGANIZATION FOR ECONOMIC AND COOPERATIVE DEVELOPMENT CONVENTION
 - II. UNITED NATIONS CONVENTION AGAINST CORRUPTION
 - III. UNITED STATES
 - IV. BRAZIL
 - V. CANADA
 - VI. PEOPLE'S REPUBLIC OF CHINA
 - VII. INDIA
 - VIII. MEXICO
 - IX. RUSSIA
 - X. UNITED KINGDOM BRIBERY ACT 2010, CORPORATE CRIMINAL LIABILITY, AND CORPORATE PROSECUTION GUIDANCE

- XI. PRACTICAL MULTINATIONAL ADVICE REGARDING INTERNATIONAL ANTICORRUPTION COMPLIANCE AND INVESTIGATIONS
- XII. ADDITIONAL RESOURCES
- XIII. NOTES

CHAPTER 4 BOARD OF DIRECTORS AND MANAGEMENT RESPONSIBILITIES

- I. THE BOARD OF DIRECTORS
- II. DIRECTORS' FIDUCIARY DUTIES AND THE BUSINESS JUDGMENT RULE
- III. THE DUTY OF OVERSIGHT: *IN RE* CAREMARK AND ITS PROGENY
- IV. SARBANES-OXLEY CERTIFICATIONS BY PUBLIC COMPANY OFFICERS
- V. REASONS TO AUTHORIZE AND CONDUCT AN INTERNAL INVESTIGATION
- VI. SELECTION OF OUTSIDE FCPA INVESTIGATION OR DEFENSE COUNSEL
- VII. COMPLIANCE PROGRAMS
- VIII. WRITTEN LEGAL OPINIONS
- IX. INTERNAL AUDIT
- X. ADDITIONAL RESOURCES
- XI. NOTES .

CHAPTER 5 TRANSACTIONAL ISSUES AND CONSIDERATIONS

- I. OVERVIEW
- II. 25 EXAMPLES OF AGENT, CONSULTANT, AND OTHER THIRD-PARTY REPRESENTATIVE RED FLAGS
- III. TRANSPARENCY INTERNATIONAL 2016 CORRUPTION PERCEPTION INDEX
- IV. AGENTS, CONSULTANTS, AND OTHER THIRD-PARTY INTERMEDIARIES
- V. DISTRIBUTORS AND RESELLERS
- VI. MERGER, ACQUISITION, AND INVESTMENT DUE DILIGENCE
- VII. JOINT VENTURES
- VIII. ONGOING AGENCY, CONSULTANCY, OR JOINT VENTURE DUE DILIGENCE

CHAPTER 6 GIFTS, TRAVEL, LODGING, AND ENTERTAINMENT

- I. INTRODUCTION
- II. GIFTS
- III. TRAVEL, LODGING, AND ENTERTAINMENT
- IV. TEN LEADING FCPA GIFT, TRAVEL, LODGING, AND ENTERTAINMENT CASES
- V. BOOKS AND RECORDS AND INTERNAL CONTROLS

- VI. EFFECTIVE GIFT, TRAVEL, LODGING, AND ENTERTAINMENT COMPLIANCE PROGRAMS
- VII. PRACTICAL TRAVEL, LODGING, AND ENTERTAINMENT ADVICE
- VIII. SPECIAL SPORTING EVENTS AND ANTIBRIBERY TRAINING AND PRECAUTIONS
- IX. ADDITIONAL RESOURCES
- X. NOTES

CHAPTER 7 CHARITABLE DONATIONS AND POLITICAL CONTRIBUTIONS

- I. INTRODUCTION
- II. GLOBAL CORPORATE POLICIES AND LOCAL LAWS
- III. CORRUPT MOTIVES
- IV. TRANSPARENCY OF CHARITABLE DONATIONS AND POLITICAL CONTRIBUTIONS
- V. RESOURCE GUIDE'S FIVE CHARITABLE PAYMENT QUESTIONS
- VI. CONTRACTS CONTAINING CHARITABLE DONATION BEQUESTS
- VII. LEADING FCPA CHARITABLE DONATION AND POLITICAL CONTRIBUTION CASES
- VIII. DOJ FCPA OPINION RELEASES
- IX. ADDITIONAL PRACTICAL CHARITABLE DONATION AND POLITICAL CONTRIBUTION ADVICE
- X. ADDITIONAL RESOURCES
- XI. NOTES

CHAPTER 8 CONDUCTING A FOREIGN CORRUPT PRACTICES ACT INVESTIGATION

- I. BASIC STEPS OF AN FCPA INTERNAL INVESTIGATION AND RELATED ACTIONS
- II. PRELIMINARY INVESTIGATION ISSUES AND PRACTICES
- III. AMERICAN COLLEGE OF TRIAL LAWYERS' RECOMMENDED PRACTICES FOR INTERNAL INVESTIGATIONS
- IV. DOCUMENTS
- V. SOURCES OF IN-COUNTRY INFORMATION
- VI. INTERVIEWS
- VII. HYPOTHETICAL FCPA WITNESS INTERVIEW OUTLINE
- VIII. CORRUPTION INDICATORS
- IX. THE WORKING CHRONOLOGY
- X. REPORTS AND RECOMMENDATIONS TO MANAGEMENT, BOARDS OF DIRECTORS, AUDIT COMMITTEES, OR SPECIAL COMMITTEES
- XI. VOLUNTARY DISCLOSURE .
- XII. UNIQUE ASPECTS OF FCPA INVESTIGATIONS AND MULTINATIONAL OPERATIONS

- XIII. POTENTIAL REMEDIAL MEASURES
- XIV. EFFECTIVE CORRUPTION DISCOVERY RESPONSES AND REMEDIATION AND RELATED ACTIONS
- XV. LOGISTICAL ADVICE IN CONDUCTING FOREIGN INVESTIGATIONS
- XVI. TARUN'S TEN COMMANDMENTS FOR CONDUCTING INTERNAL INVESTIGATIONS OF PUBLIC COMPANIES
- XVII. ADDITIONAL RESOURCES
- XVIII. NOTES

CHAPTER 9 DEFENDING AN FCPA INVESTIGATION

- I. U.S. GOVERNMENT INVESTIGATIONS
- II. SOURCES OF ALLEGATIONS AND INVESTIGATIONS
- III. ORGANIZING THE DEFENSE PRESENTATION
- IV. TWO IMPORTANT DOJ POLICIES: THE YATES MEMORANDUM AND THE FRAUD SECTION PILOT PROGRAM
- V. WELLS SUBMISSIONS, DOJ POSITION PAPERS, AND POWERPOINT PRESENTATIONS
- VI. ADDITIONAL RESOURCES
- VII. NOTES

CHAPTER 10 SEC ENFORCEMENT ACTIONS AND DOJ PROSECUTIONS

- I. FCPA PROSECUTION AND ENFORCEMENT TRENDS AND RELATED DEVELOPMENTS
- II. FACTORS THE DOJ AND SEC WEIGH IN PROSECUTORIAL AND REGULATORY DECISIONS
- III. CORPORATE GOVERNANCE CHECKLIST
- IV. STATED OR IMPLIED TERMS OF FCPA DOJ PLEAS, DEFERRED PROSECUTION AGREEMENTS, NONPROSECUTION AGREEMENTS, SEC CONSENT DECREES, AND DECLINATIONS
- V. SELECT SEC ENFORCEMENT ACTIONS
- VI. SELECT DOJ MATTERS
- VII. PRACTICAL ADVICE IN INTERPRETING FCPA PROSECUTIONS, ENFORCEMENT ACTIONS, DOJ FCPA OPINION RELEASES, AND DOJ AND SEC CHARGING CRITERIA
- VIII. ADDITIONAL RESOURCES
- IX. NOTES