

# BUCKLEY

## Internal Investigations Practice

Employees, customers, competitors, and vendors have more avenues and incentives than ever to report suspected misconduct. When a company or board becomes aware of concerns that its employees, executives, or third parties may have violated the law, a focused, comprehensive internal investigation is critical in assessing its obligations and deciding what, if any, steps should be taken next. It is particularly important to have qualified and experienced outside counsel investigate these types of allegations when the results of that investigation may need to be disclosed to regulators and other agencies.

Buckley attorneys have decades of experience in conducting internal investigations across a variety of industries, both anticipatory and in response to government inquiries or civil allegations. We regularly assist clients in scoping the investigation, collecting and preserving documents, determining appropriate decisions about employees involved, responding to whistleblower complaints, and assessing the advisability of self-reporting. We have built an industry-leading e-discovery practice that puts people, process, and technology to their best uses. We develop and propose meaningful and practical solutions tailored to the circumstances of each situation. Working with our Workplace Cultural Compliance team, we also conduct internal investigations related to sexual harassment, gender inequality, and racial discrimination, providing an unbiased assessment of the situation and taking a pragmatic approach in devising an appropriate action plan, where necessary.

Our attorneys also design, implement, and evaluate compliance policies and procedures to drive and measure organizational change, ensuring a response that meets regulatory and government expectations.

We have conducted internal investigations on behalf of clients in a wide range of industries, including the following:

- A publicly traded bank related to claims of Suspicious Activity Report improprieties
- A publicly traded company examining allegations of noncompliance with rules and regulations governing when costs could be sought from the federal government
- A major mortgage servicer regarding loss-mitigation practices

- A major national bank assessing potential fraudulent conduct in loan origination
- Affiliated homebuilder and lenders regarding sales, origination, servicing, and collection practices
- A committee of the board of directors of a top regional bank into whistleblower allegations regarding anti-money-laundering compliance
- A top regional bank regarding sales practices
- A state member bank related to a self-identified loss mitigation issue
- A university into whistleblower allegations of fraudulent vendor payments and bid-rigging
- A national tax preparation company related to allegations regarding the potential filing of fraudulent tax returns
- A committee of the board of directors of a bank in an internal fraud investigation involving senior executives
- Oil and gas, energy services, retail, and/or petrochemical companies operating in India, China, Kazakhstan, Russia, Italy, Egypt, Korea, Guatemala, and numerous other non-U.S. jurisdictions involving potential FCPA violations
- The Pennsylvania Attorney General regarding alleged inappropriate and unethical email communications by state government officials, including judges and prosecutors

## **News & Blogs**

- Lauren R. Randell quoted in Business Insurance article, “DOJ policy shift could trigger increased demand for D&O cover”

## **Partners**



Henry Asbill



Preston Burton



Caitlin M. Kasmar



Benjamin B. Klubes



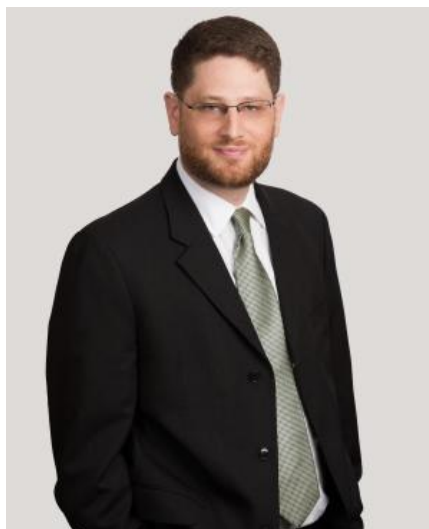
David S. Krakoff



Amanda R. Lawrence



Andrew R. Louis



Adam Miller



Ross E. Morrison



James T. Parkinson



Matthew P. Previn



Lauren R. Randell



Christopher F. Regan



Michelle L. Rogers



Andrew W. Schilling



Thomas A. Sporkin



Daniel P. Stipano

## Counsel