

## Services & Industries

# Compliance Officer Services

## OVERVIEW

Day Pitney's Compliance Officer Services (CO Services) provides hands-on, practical and trusted compliance advice to the business community. Day Pitney Compliance Officers serve in compliance positions in a variety of industries and are backed by the broad legal capabilities of Day Pitney. We work with your management team and budget to create the experience comparable to hiring a full-time compliance professional. Consistent, long-term involvement with your company enables you to identify and assess key compliance and ethical issues before they become problems.

We advise financial institutions on consumer laws such as the Fair Credit Reporting Act, the Fair Debt Collection Practices Act, the Real Estate Settlement Procedures Act, the Truth in Lending Act and others. We assist our clients in complying with those laws and, when necessary, defend claims brought under those laws.

Day Pitney provides a broad range of CO Services that can be tailored to your needs:

- Compliance risk assessment and risk management oversight
- Compliance and corporate governance charters
- Compliance policies and procedures, including code of conduct and ethics
- Compliance and ethics training
- Anti-money laundering, anti-bribery and anti-boycott controls
- Antitrust, insider trading, and data security and privacy compliance programs
- Investment adviser and broker-dealer compliance audits/reviews
- Record-management/document-retention processes
- Medicare, Medicaid and HIPAA compliance audits
- Stark Law and Anti-Kickback Statute analysis
- Energy law compliance reviews

- Routine regulatory requirements, reports, inquiries and inspections
- Participation in shareholder and board meetings
- Participation in strategic meetings as requested

## INSIGHTS

### **Day Pitney Attorneys Review How Best to Minimize Say-on-Pay Litigation in *The Hartford Business Journal***

July 1, 2013

Rod Rodriguez and Glenn Dowd authored an article on "Minimizing litigation risk on compensation disclosure" in the July 1 edition of *The Hartford Business Journal*.

### **Revisiting the Lobbying Disclosure Act (LDA) Exemption: How Practitioners are Now Interpreting Its Scope of Application**

September 25, 2019

On September 25, DC-based counsel Steven Cash will be a featured speaker at the National Forum on the Foreign Agents Registration Act (FARA), an event presented by the American Conference Institute and held in Washington, DC.

### **Evolution of a Valuable Tool for Attorneys: Business Intelligence Practitioners**

March 27, 2017

Steven Cash co-authored an article, "Evolution of a Valuable Tool for Attorneys: Business Intelligence Practitioners," for the *New York Law Journal*.

### **NLRB Eases Organizing of Temporary Workers**

July 15, 2016

Rachel Gonzalez, Mary Rogers and Patrick McCarthy wrote an article "NLRB Eases Organizing of Temporary Workers" for *CBIA's H&R Safety Newsletter* on the impact of the recent decision of the National Labor Relations Board (NLRB).

### **Day Pitney Sponsors NACD-CT Event "Digital Attacks on Businesses: Protecting your Brand, Reputation and Critical Assets"**

February 27, 2012

## NEWS

### **Leading Data Privacy and Cybersecurity Attorney William J. Roberts Joins Day Pitney's Hartford Office**

February 28, 2022

*Day Pitney Press Release*

### **Day Pitney Promotes Five New Partners**

January 2, 2020

*Day Pitney Press Release*

### **Trump-Mueller tensions escalate**

July 20, 2017

Steven Cash was quoted in a pair of articles, "**Trump-Mueller tensions escalate**," published in *The Hill*; and "**Jeff Sessions' appointment of special prosecutor bites Trump**," published in *The Washington Times*.

### **Equity Crowdfunding Tops \$10M Since SEC Rules Took Effect**

November 1, 2016

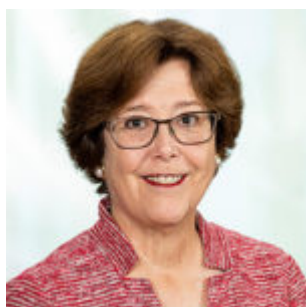
Eliza Fromberg was quoted in an article, "**Equity Crowdfunding Tops \$10M Since SEC Rules Took Effect**," in *Law360*.

### **SEC Boosts Intrastate Crowdfunding, But Hurdles Remain**

October 31, 2016

Eliza Fromberg was quoted in an article, "**SEC Boosts Intrastate Crowdfunding, But Hurdles Remain**," in *Law360*. In the article, Fromberg discusses the U.S. Securities and Exchange Commission's adoption of amendments to the intrastate offering exemption.

## **CONTACTS**



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