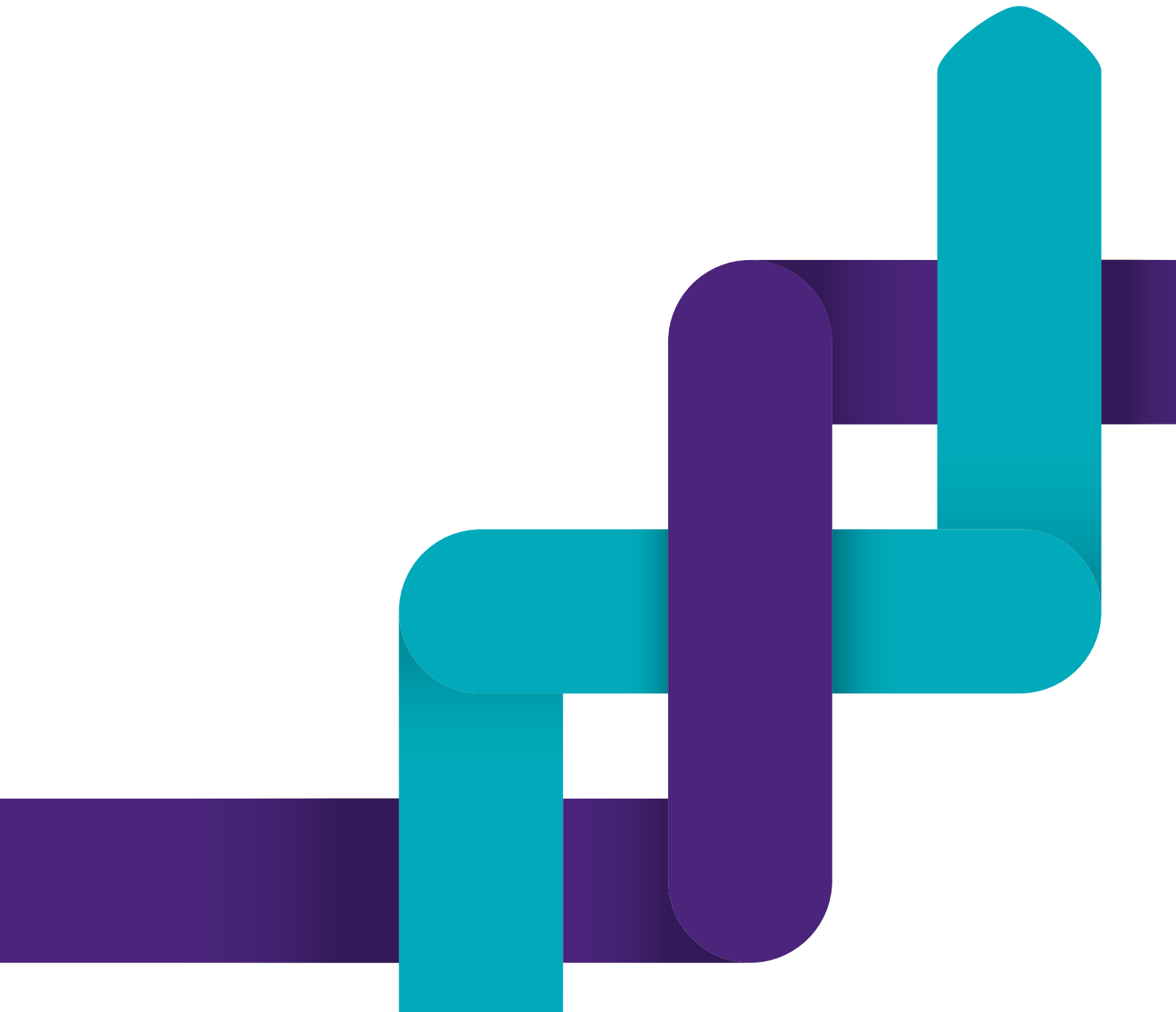


# Regulatory Compliance

Completing criminal compliance



## REGULATORY COMPLIANCE

The excess of new regulations and the increasing complexity of the legal rules **raise the risk of the company incurring in non-compliance behaviours.** Failure to comply with obligations is one of the main causes of economic and reputational damage to companies, in addition to increasing in recent years the sanctions and liability - even criminal - of organizations, administrators and managers who incur in these behaviours.

A business policy of integrity and commitment to compliance avoids sanctions and economic damage and generates value to the companies.

**The models  
of legal compliance  
sustain values of good  
corporate governance,  
integrity, sustainability and  
social commitment of the  
company with its environment.**



Strengthens the company's ethical commitments.



Avoids or minimizes the risk of criminal and administrative sanctions.



Contributes to achieve contracting processes with Public Administrations.



It instils confidence in investors and clients.



Optimizes the legal function of the company.



Avoids or minimizes the responsibility of administrators and management.



It is taken into account in auditing and due diligence processes.



## STAGES OF THE REGULATORY COMPLIANCE MODEL

Identification and analysis of the different normative blocks that affect the company.

1

Identification and assessment of associated risks, pre-existing processes and upcoming charges.

2

Design and implementation of compliance policies and controls.

3

System documentation and development of accreditation procedures for the effectiveness of the model.

4

Designing a knowledge and training plan.

5

The Grant Thornton Compliance team is formed by a multidisciplinary group of professionals, with extensive experience in the design and implementation of **regulatory compliance models** in companies of different sizes and from different sectors of activity. We have **extensive experience in internal control, process improvement and legal advice**. We also work under international reference standards and best practices in risk management.

Our Compliance team has extensive experience in the design and implementation of **criminal compliance systems or crime prevention programs**, appropriate to the provisions of the Criminal Code and other reference standards such as the recent UNE 19601.

We create specific models and programs for different regulatory frameworks: data protection, money laundering, criminal liability, competition, etc.



We are one of the world's largest professional services firm providing assurance, advisory, technology and innovation consultancy, tax and legal services.

## Worldwide



## In Spain



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