



Regulatory Compliance Audits & Programs

You know that your business must comply with numerous consumer protection requirements and that today's regulatory landscape poses significant risk, but perhaps you don't know where to start. Maybe your business has already implemented compliance policies and procedures, but you're not sure if they're adequate or whether they're working as designed. Or maybe you're worried about potential liability based on the actions of your vendors or a merger or acquisition target.

In heavily regulated industries, there is virtually no aspect of your business untouched by federal or state regulatory demands. These can vary with every state in which you operate, and maintaining compliance may seem like an impediment to effectively and efficiently running your business. However, the process doesn't need to hold you back. Our attorneys have deep knowledge of complex federal and state regulations and inside knowledge of the agencies that enforce them. Whether you are an entrepreneurial start-up or an established enterprise, we can help you navigate every compliance challenge.

Compliance Programs

The first step towards improved compliance is the adoption and implementation of a comprehensive compliance program. Among other things, this typically includes: (1) written policies and procedures; (2) employee training curricula; and (3) robust quality assurance protocols.

We can help you create and implement a practical, tailored, compliance program that significantly mitigates risk without hindering business objectives or imposing "red tape" on your marketing, sales, or operations teams. This may involve building a program from scratch or simply supplementing or refining an existing compliance program.

Auditing and Due Diligence Services

We provide thorough compliance auditing, due diligence, and assessment services in a number of substantive areas. Our team will work with you to identify compliance gaps and will provide practical recommendations to help you proactively mitigate risk. We can also assist with the remediation of noncompliant activities.

In addition to reviewing policies, procedures, marketing and sales materials, and other documents, we typically conduct on-site interviews and assessments of your company's business operations. Through this process, we are able to identify breakdowns in compliance protocols and/or discover new business practices that may not have been vetted by your compliance or legal teams. This allows you to remediate noncompliant practices before they catch the attention of regulators or plaintiffs' attorneys.

Our compliance program and auditing services cover a wide range of substantive areas, including teleservices, consumer protection, privacy, debt collection, and automotive services. Within each area we can tailor the compliance program and audit to suit your business' unique needs.