

## Corruption in 2015: Key Takeaways

January 27, 2016 | Client Update

2015 proved to be a year of continued focus on anti-corruption enforcement. We have distilled key aspects of the year's enforcement trends and resolutions to offer you succinct summaries, including:

**Trends in Anti-Corruption Enforcement:** Highlights of the 2015 U.S. and global anti-corruption enforcement activity, key developments and trends were discussed during an hour long webcast by Davis Polk partners. The trends are detailed in the following summary and access to the webcast is available through the link below.

[Read the Summary »](#)

[View the Webcast »](#)

**2015 DOJ and SEC FCPA Resolution Tracker:** A one-page chart detailing characteristics of 2015 corporate and individual FCPA resolutions is available through the links below.

[View the FCPA Tracker »](#)

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# 2015 DOJ and SEC FCPA Resolution Tracker

Davis Polk

TARGET	ENFORCEMENT	RESOLUTION	CLASSIFIED FCPA VIOLATION	INDUSTRY	GEOGRAPHY	ALLEGATIONS
CPA	Wells Fargo (Bank of America)	SEC	\$1.4M DPA, \$20M civil penalty, no deny, cease & desist order	Engineering/Construction	Guatemala	Facilitation (kickback) re "agency fees" re air field and transport contracts
	Comcast Tel	SEC	\$14.2M civil penalty, no deny, cease & desist order	Telecommunications	Kenya, Angola	Facilitation (kickback) re equipment supplies
	Novartis	DOJ	\$275K 2 year probation re 3 year DPA entered re-2012	Pharmaceuticals	Argentina, Brazil, China, Mexico	Facilitation and bribery re doctors for medical device sales
CPA	Fujifilm Systems	SEC	\$12M civil penalty, no deny, cease & desist order	Defense	South Africa	Facilitation (kickback) re. re cell defense technology
	BP/Shell	SEC	\$20M civil penalty, no deny, cease & desist order	Natural Resources/Energy	Burkina Faso, Guinea, Philippines	Compliance oversight program failed sufficient anti corruption controls
	BP Worldwide James Stone	DOJ	\$750K guilty Plea guilty, 6 months prison	Defense	Kenya	Facilitation (kickback) re consulting fees re air defense contracts
	Deere Canada	DOJ	Not guilty, sentence 100	Natural Resources/Energy	U.S., Russia	Facilitation re air transport contracts from Russian aircraft company
CPA	US West (Rockwell Automation James McCarty)	DOJ	\$175K DPA, Not guilty, sentence 100 Not guilty, sentence 100	Engineering/Construction	India, Indonesia, Vietnam, Russia	Facilitation (kickback) re "commission fees," "kickback per items," etc. re air construction contracts
	World E. Davis (GE Power)	DOJ SEC	DOJ Not guilty, 30 months prison SEC \$20K civil penalty & cease order	Technology	Peru	Sold artificially discounted software through intermediaries to facilitate re technology contracts
	Wood Johnson (Johnson)	SEC	\$12M civil penalty, no deny, cease & desist order	Pharmaceuticals	China	Facilitation and bribery re doctors to recommend drugs formula and provide customer information
	Andres Trujillo (German Argentin)	DOJ	Not guilty, sentence 100	Technology	Argentina	Facilitation re secure contract re national identity card system
	Winn-Dixie	SEC	\$14.2M civil penalty, no deny, cease & desist order	Financial Services	United States (East Coast)	Head received re officials from accounting firm re anti wealth management business
	Wesco	SEC	\$12M civil penalty, no deny, cease & desist order	Engineering/Construction	South Africa	Facilitation (kickback) re front company for selling public utility for power station contracts
CPA	Hyperbarics	SEC	\$12M civil penalty, no deny, cease & desist order	Natural Resources/Energy	Guinea	Bought services from employee controlled vendor without anti corruption controls
	Grand Island (Smith)	SEC	\$14.2M civil penalty, no deny, cease & desist order	Pharmaceuticals	China	Case cash, meals, etc. re provision re prescription drug sales

DPA = Deferred Prosecution Agreement

NPA = Non-Prosecution Agreement

= Bribery

= Bank/Finance

= Internal Controls

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