



## **CORPORATE CRIME, COMPLIANCE & INVESTIGATIONS**

### **Compliance Solutions for the Financial Services Sector**

#### **About our practice**

**ADVANT Beiten's** Corporate Crime & Investigations practice is dedicated to preventing, managing, and resolving tax and criminal law risks in the financial sector. With many years of industry experience, we combine criminal law and tax law expertise with regulatory know-how – giving our clients integrated, single-source advice to protect their interests in complex, multi-authority matters.

We advise major national and international financial institutions and their key individuals across the full spectrum of tax

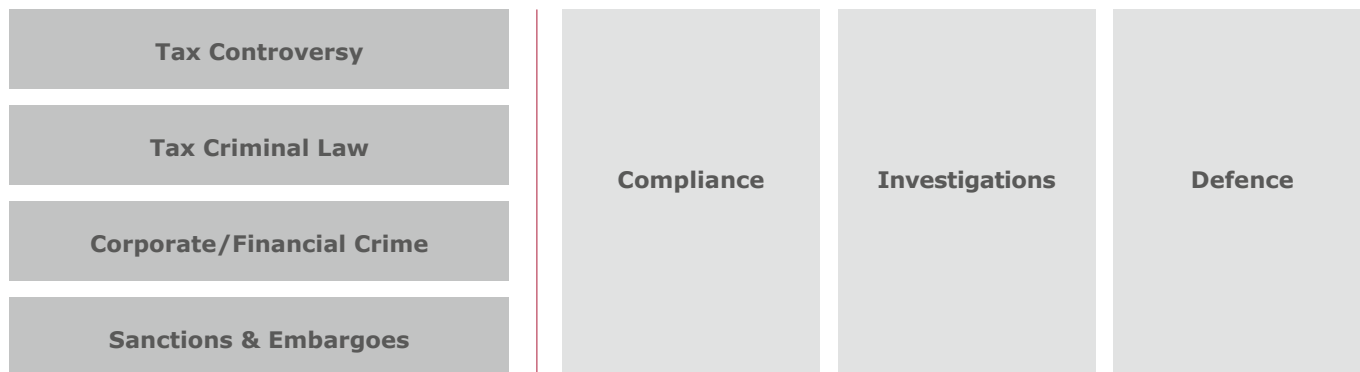
and white-collar criminal law, regulatory enforcement, investigations and compliance.

Beyond traditional criminal advisory and defence mandates, we represent companies and individuals in tax and regulatory proceedings before financial and specialist authorities, including BaFin and the FIU. Our work encompasses the design, implementation and digitalisation of compliance management systems, where we leverage our financial crime experience as a distinct advantage – helping clients build robust and ef-

efficient compliance solutions. This makes us a trusted single point of contact for their board, legal, tax, and compliance functions.

All members of our team hold additional qualifications as Certified AML & Anti-Fraud Officers – a qualification recognised throughout the German financial sector for compliance officers.

## CORPORATE CRIME & INVESTIGATIONS IN THE FINANCIAL SECTOR



### The financial sector: Unique challenges in combating tax and criminal law risks

Financial institutions face a distinctive and intensifying set of challenges at the intersection of tax risk, financial crime, and regulatory compliance – this requires a legal partner who understands the full picture.

Unlike companies in other sectors, financial institutions are subject to regulatory obligations to embed comprehensive internal safeguards and strategic controls into their compliance organisations – specifically designed to prevent tax and criminal law risks.

Tax fraud and evasion, financial crime, sanctions risks, and supervisory requirements are increasingly intertwined and inseparable.

The growing Europeanisation and internationalisation of enforcement – coupled with rapidly expanding national and international regulation – means that managing these risks demands seamless coordination across law, tax, compliance, and anti-financial crime.

### Our approach

#### Sector-Focused Expertise

Deep, specialist knowledge of the financial sector’s unique regulatory and corporate crime landscape – combining legal, tax, and supervisory perspectives in a single integrated team.

#### Full-Spectrum Coverage

We cover the entire advisory spectrum – from advising and defending companies and individuals in tax, criminal and regulatory proceedings to offering preventive compliance solutions and conducting internal investigations.

#### Independent & Practical

Independent of auditors and external reviewers – with significant Big Four and in-house experience – we combine rigorous legal analysis with hands-on implementation capability, including for large-scale compliance projects.

#### Pan-European Reach

As part of **ADVANT Beiten** and the **ADVANT** alliance, we provide seamless cross-border advice across key European financial centres – including Frankfurt, London, Paris, Milan, and Rome.

## Our services

### Tax law & Tax controversy

- Tax Disputes Resolution
- Tax Transparency & Reporting (e.g. DAC6, CRS, § 138b AO)
- Tax-IDs & Tax KYC-Obligations (e.g. § 154 AO, § 24c KWG)
- Tax Compliance Management Systems (TCMS)
- Proceedings before tax authorities and tax courts
- Contentious Tax Audits
- Tax Liability Proceedings
- Tax (risk) opinions on financial products

### Tax & Corporate crime

- Tax Criminal Law
- Corporate Criminal Law
- Anti-Financial Crime (AML & CFT)
- Capital Markets Criminal Law
- Fraud, Corruption & Bribery
- Financial Sanctions & Embargoes
- Proceedings before BaFin & Bundesbank, etc.
- Corporate & Individual Defence
- Criminal Due Diligence
- Witness Support
- Dawn Raid Support
- Crisis Management

### Compliance & Investigations

- Compliance Management Systems (CMS)
- Digital CMS (certified partner of IMPERO Compliance simplified)
- AML & Sanctions Compliance
- KYC Process Review & Optimisation
- Internal Investigations (stand-alone or with your preferred eDiscovery provider)
- Compliance-Checks, Trainings, Communication Programmes
- Compliance Due Diligence
- Whistleblower Systems
- External Compliance Officer

## Your specialist compliance unit for financial institutions

Our advisory scope mirrors the full remit of a Central Compliance Function under § 25h German Banking Act (Kreditwesengesetz – KWG) – serving as your trusted external partner across all functions of a financial institution’s com-

pliance organisation. We advise at the intersection of law, tax, compliance, and anti-financial crime, with full awareness of supervisory requirements.

**We act as trusted advisor to your board, legal, tax, and compliance teams.**

## Why ADVANT Beiten?

### Full-Service Firm

Labour law, data protection, regulatory – alongside our specialist corporate crime & compliance practice. We handle large-scale projects.

### Managed Services

Cost-efficient delivery via PMO support, legal technology, process optimisation and use of digital compliance solutions – in cooperation with our partner, Impero Compliance Simplified.

### European Reach

**ADVANT** alliance across 15 offices in Europe and worldwide. Seamless sector-focused cross-border advice under German, French, and Italian law.

### Independent Experts

Free from audit conflicts. Big Four and in-house background. Precise legal analysis with hands-on implementation experience.

## Your contacts

Our Corporate Crime, Compliance & Investigations practice for the Financial Services Sector is led by specialists who combine

deep sector knowledge, hands-on enforcement experience, and comprehensive compliance implementation capability.



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### All team members are qualified as:

- Attorney-at Law, admitted to the German Bar
- Certified AML & Anti-Fraud Officer
- Certified Partner of Impero – Compliance Simplified, a leading provider of a digital governance, risk and compliance platform to manage risk and internal controls (Digital CMS)

## About ADVANT Beiten

**ADVANT Beiten** is a leading independent German full-service law firm and member of the **ADVANT** alliance, bringing together leading firms across key European jurisdictions. We deliver integrated, cross-border legal advice tailored to the complex regulatory and commercial environment of the financial services industry.

Our pan-European **ADVANT** team comprises 145 equity partners and more than 600 professionals across 15 offices in Europe and worldwide. We combine deep sector knowledge with practical, solution-oriented thinking.

**ADVANT offices in key financial centres: Frankfurt, London, Paris, Milan, Rome**

**Further offices: Berlin, Brussels, Dusseldorf, Freiburg, Genoa, Hamburg, Munich, Beijing, Moscow, Shanghai**

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