

# Compliance due diligence in M&A transactions



## Support in managing non-compliance risk in case of M&A transactions

Although this kind of services is usually performed on the buyer's side during the due diligence in M&A procedures it might be equally interesting for the selling party, in preparatory phase of the M&A deal. The more robust compliance program exists in merging or to be sold enterprises the lower risk of regulatory actions, hence the required risk premium may be lower.

# WORKFLOW



# Overview of available services



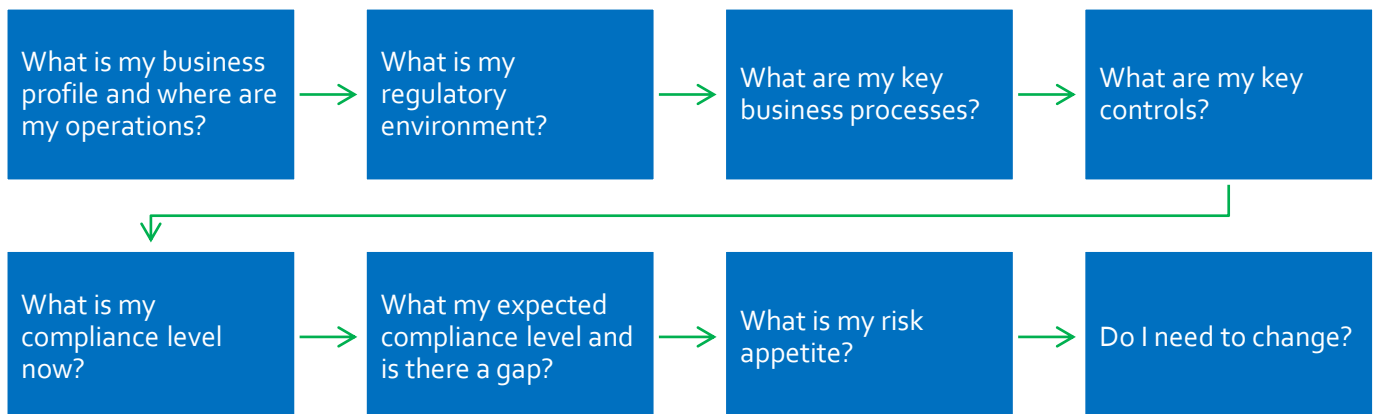
## Risk detection and assessment

- *As-is business process mapping*
- *As-is identification of control mechanisms in business processes*
- *Risk-based selection of a testing sample and sample-based walk through the efficacy of designed controls in place*
- *Identification of the gap between as is and as it should be considering the existing regulatory framework*
- *Risk assessment and risk appetite setting advice*



## Risk response planning and implementation

- *Prioritisation of detected risk areas to address*
- *Risk response shaping and planning (design of Target Operating Model or TOM)*
- *Implementation of TOM across the organisation by reshaped procedures, control mechanisms, communication, and training*
- *Post implementation compliance audit (as an option)*



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