Presentation

Project Competition Compliance in Latin America
UNCTAD –COMPAL Programme and ZHAW

Prof. Dr. Patrick L. Krauskopf
Zhaw, Zurich University

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Prof. Dr. Patrick L. Krauskopf
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I. Objectives

II. Project Plan & Current Phase of Implementation

III. Key Findings

IV. Best Practices
The objectives of the study is to provide:

- The status quo on the **consideration of compliance programs** by authorities and courts in South and Central America in cases of legal infringements, and if so, to what extent.
- An illustration of **international Best Practices** from different countries, institutions, and jurisdictions
- **Practical recommendations** for action as voluntary guidance and aid for the respective authorities
II. Project Plan & Current Phase of Implementation

- **Phase 1**: Data collection of status quo through a structured questionnaire
- **Phase 2**: Analysis of responses
- **Phase 3**: Findings and recommendations
III. Key Findings

What are the key findings of the study?

- 87% the authorities surveyed provide support in the implementation of compliance programs.
- Approximately the half of the authorities surveyed take compliance programs into account when calculating the fine reduction.
- Most of the countries surveyed intend to promote compliance efforts yet further in the future.
- 64% of the authorities surveyed, state that they have sufficient resources and know how to promote compliance measures for companies.
- 93% of the interviewed competition authorities already have cooperation partnerships with other stakeholders.
- All participants have indicated to be interested in a collaboration with potential future cooperation partners in this regard.
## IV. Best Practices

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<th><strong>Practical steps to assess strengths and weaknesses</strong></th>
<th><strong>Practical steps to organize the resources</strong></th>
<th><strong>Practical steps to build and maintain the know-how</strong></th>
<th><strong>Practical steps to ensure the control</strong></th>
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<td>• Compliance team</td>
<td>• Materials</td>
<td>• Due Diligence in M&amp;A</td>
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<td>• Code of conduct</td>
<td>• Reporting to Company Board or Management Committee</td>
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<td>• Ongoing management commitment</td>
<td>• Adequate Resources</td>
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<td>• Compliance cost assessment</td>
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Thank you for your attention!

Contact Information
Prof. Dr. Patrick L. Krauskopf
LL.M. (Harvard)
Attorney (Zurich | New York)
Zurich University of Applied Sciences (ZHAW), School of Management and Law, Center for Regulation and Competition
E-Mail: krpa@zhaw.ch