

# Case IQ

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Case IQ Solutions

# **Enforcement Agency Experience**

Case IQ's\* software is the leading compliance solution in the market related to managing risks related to fraud, corruption, sanctions, kickbacks, and conflicts of interest. Our software has been before enforcement agencies globally in 12 separate company engagements and was even recognized by the SEC as a remediation factor in a client's FCPA resolution. It has been chosen after the appointment of compliance monitors or after the start of an investigation and has been a factor in resolving those matters, including helping to secure a DOJ declination. Case IQ's software has assisted global companies in connection with enforcement agency actions in the United States, Brazil, Canada, France, Sweden, Switzerland and South Africa, as well as by the World Bank.

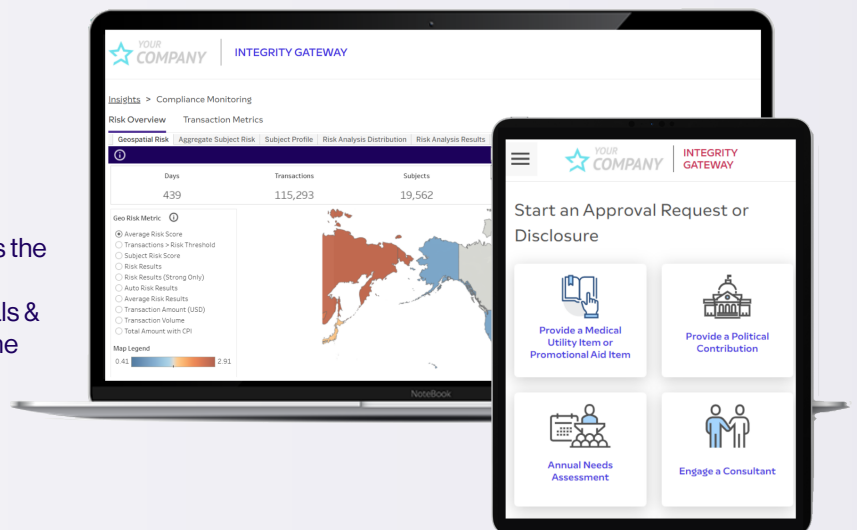
The U.S. Department of Justice (DOJ) has continuously evolved its expectations for corporate compliance programs. While the June 2020 update to the DOJ's Evaluation of Corporate Compliance Programs (ECCP) emphasized the need for companies to proactively identify risks through data-driven compliance programs, recent amendments have further heightened these expectations.

The latest 2024 amendments take a more direct approach, stressing the importance of real-time compliance analytics, AI-driven risk detection, and the proactive identification of misconduct "at the earliest stage possible." The DOJ now explicitly asks whether compliance teams have access to the same level of technology as commercial functions and whether companies are leveraging data analytics tools to measure the effectiveness of compliance operations. Former Assistant Attorney General Kenneth Polite underscored the DOJ's stance on proactive compliance, stating:

"I want to know whether you are doing everything you can to ensure that when an individual employee is facing that singular ethical challenge, he has been informed, he has been trained, and he has been empowered to choose right over wrong. Or, if he makes the wrong choice, you have a system that immediately detects, remediates, disciplines, and then adapts to ensure that no others follow suit (emphasis added)."

# The Leading Out-of-the-box Compliance Monitoring & Workflow Solution

Case IQ's Compliance Monitoring product is the leading out-of-the-box compliance monitoring solution that meets the DOJ expectations in regard to immediate detection and continuous monitoring of transactions. Case IQ's Approvals & Disclosures and Third-Party Management products are the leading highly-configurable compliance workflow automation solutions to help manage front-end compliance risks before a transaction even occurs.



\*Lextegrity was acquired by Case IQ in 2025 and is now offered as an end-to-end suite of compliance tools.



# Case IQ's proven track record before enforcement agencies globally includes:

- ✓ Helping a global U.S.-based pharmaceutical company secure a declination from the DOJ and a modest SEC fine, in which the SEC recognized Case IQ's software specifically as a significant remediation factor
- ✓ Being selected by a global European-based life sciences company in the last year of its monitorship and helping to gain certification from the Monitor
- ✓ Helping a global European-based technology company resolve a multi-jurisdictional investigation
- ✓ Helping a global US-based pharmaceuticals company during an ongoing anti-kickback investigation
- ✓ Helping a global US-based life sciences company post settlement to minimize the risk of recidivism
- ✓ Helping a global Canada-based engineering company enhance its controls during its monitorship
- ✓ Being selected by a global Brazil-based manufacturing company in the last year of its monitorship and helping to resolve the monitorship on a timely basis
- ✓ Helping a global Brazil-based manufacturing company during its post-deferred prosecution agreement self-reporting period
- ✓ Helping a global European-based technology company during an ongoing monitorship
- ✓ Helping a global US-based energy company post settlement to minimize the risk of recidivism
- ✓ Helping a global Japan-based life sciences company post settlement to minimize the risk of recidivism
- ✓ Helping a global France-based technology company in connection with an ongoing government investigation

# Don't just take our word for it...

"Ultimately, the enhancements to our compliance program from the implementation of Lextegrity's product enabled Fresenius Medical Care to satisfy our obligations under our agreements with the DOJ and SEC. Lextegrity interfaced expertly with dozens of people within the company as well as our outside counsel and the Monitor team, to help us achieve our aims with respect to our program enhancements and our monitorship. But most importantly, we now have a long-term scaled solution driven by technology to support effective monitoring of Fresenius Medical Care's transactions going forward."

**Patrick Murphy**

Global Head - Litigation and Investigations



"Lextegrity has built the future of compliance. Its software allowed us to enhance compliance controls globally and bring significant innovation to our compliance function. Our compliance transformation depended on technology, and we had the best possible technology partner supporting us... Its integrated data analytics, monitoring and spend pre-approval software allowed Alexion to enhance compliance controls globally and bring significant innovation to our compliance function."

**Chief Compliance Officer**

Alexion



"I would have viewed Lextegrity's approach of managing risk across the life-cycle of spend - from the due diligence process through the spend process itself - very favorably. A technology and approach that tests the entirety of your financial transactions using multiple risk analyses simultaneously provides a much higher degree of comfort around whether your program is actually operating effectively than doing due diligence only or relying only on infrequent sample based auditing to supplement your diligence. In fact, a handful of companies have implemented exactly this approach and shown it to the DOJ over the years and prosecutors know first-hand what is now possible and will continue to expect organizations to up their game and implement solutions like that."

**Hui Chen**

Former DOJ Compliance Counsel Expert



"Lextegrity's team of expert former in-house counsel and auditors understand what we're doing and bring the substantive knowledge necessary to deploy an effective and efficient tool that works for Compliance and the business."

**Mauricio Almar**

Assistant General Counsel





# The Problem We're Solving

We focused on the challenges every compliance team faces:



Employees lacking sufficient tools to assess risk and own their own compliance



Interfaces for the business that are not user-friendly or intuitive



Too few legal or compliance resources to support the business



Disorganized and disparate data stores, making insights difficult to generate



Risks managed in multiple systems that do not talk to each other



Not having real-time analytics and monitoring, leading to missed anomalies

## About Case IQ

Case IQ offers an end-to-end compliance and case management solution that consolidates compliance monitoring, whistleblower solutions, third-party risk oversight, investigative case management and compliance approval and disclosures workflows. Lextegrity was acquired by Case IQ in 2025 and is now offered as an end-to-end suite of compliance tools.

**Learn how Case IQ can help you achieve end-to-end compliance with confidence.**

[Book Your Call](#)

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