

Practices & Industries

Government Enforcement & White Collar Defense

Overview

Day Pitney has the resources, skills, and experience to protect our clients' interests whenever they are confronted by a government or regulatory investigation, whether at the regional or national level. Our clients include corporations, private companies, universities, and individuals. In addition, we conduct prompt and conclusive internal investigations for our clients, and help them assess and strengthen their compliance programs and ethics plans to mitigate the risk of future problems.

Vigorous Defense of Criminal and Regulatory Probes

Members of our White Collar Defense and Investigations team include a former United States Attorney from Connecticut and other former prosecutors from New York and New Jersey. That experience translates into valuable credibility with government authorities and regulators and real-world know-how that enables us to provide the practical guidance our clients need.

Day Pitney has defended hundreds of corporate clients and individuals in complex grand jury investigations, many of which involved parallel regulatory investigations and civil lawsuits. Our experience in this area is deep and diverse. For example, we have represented individuals and companies in connection with high-profile federal and state criminal and regulatory investigations involving alleged violations of the securities laws, health care laws, tax code, antitrust laws, environmental laws, political corruption, the Foreign Corrupt Practices Act (FCPA), the False Claims Act (FCA), and the Racketeer Influenced and Corrupt Organizations Act (RICO), among others. Likewise, we have effectively defended broker-dealers, funds, companies and individuals in investigations and enforcement actions by the U.S. Securities and Exchange Commission, the Financial Industry Regulatory Authority and state securities agencies and regulators.

Prompt and Thorough Internal Investigations

When companies confront the specter of alleged misconduct or possible criminal activity, they engage Day Pitney to launch timely and thorough internal investigations. We have conducted investigations in many substantive areas, including, among others, corporate governance, insider trading, money laundering, financial reporting, bribery, embezzlement, environmental and accounting issues. We understand the pressures and practical problems investigations present, and know how to assist senior management and boards of directors in making sound decisions.

Prevention of Problems from the Start

When an investigation or compliance assessment reveals weaknesses in oversight or compliance practices, we offer guidance on improvements, training, and other preventative measures. Based on the needs of individual clients, we have recommended solutions to specific weaknesses as well as comprehensive compliance programs covering a wide array of topics.

Our experience in criminal and regulatory defense, combined with our strength in investigations and prevention, has resulted, among other key roles, in our appointment to act as monitor of a large public healthcare company.

While the breadth of our experience in defending criminal and regulatory actions, conducting investigations and preventing future problems is extensive, we also focus on the areas below: