

Practices & Industries

Securities Enforcement Defense

Overview

Securities investigations and enforcement actions by the Securities and Exchange Commission (SEC), Financial Industry Regulatory Authority (FINRA), U.S. Department of Justice, and other federal and state regulatory agencies continue to be cause for concern. Lawyers on the White Collar Defense and Investigations team, often working with experienced colleagues in the firm's Corporate and Transactional lawyers, have counseled numerous clients in connection with securities investigations and actions. We have represented companies and individuals in connection with all aspects of securities law enforcement, from litigation to complex investigations to preventive compliance.

We have an established track record of convincing regulators to close investigations without taking action against our clients. We have persuaded SEC and SRO staff to reverse preliminary recommendations of enforcement action. We have assisted clients in reaching favorable settlements with regulators to avoid the risks of litigation and adverse publicity, and where settlement is not desirable, clients benefit from our considerable trial and appeals experience.

Experience

No aspect of this advertisement has been approved by the highest court of any state. Prior results do not guarantee a similar outcome.

- Represented a public company in an SEC investigation and enforcement proceedings related to its financial statements.
- Represented hedge fund executives in an SEC enforcement proceeding parallel to criminal proceedings alleging securities fraud.
- Represented individuals in connection with civil actions and investigations by the SEC alleging insider trading.
- Represented a hedge fund manager in an SEC enforcement action involving fund valuation issues.
- Represented individuals in investigations by FINRA and state regulators alleging trading and broker-dealer violations.
- Represented a broker-dealer in an action by state regulators alleging micro-cap stock violations.
- Served as counsel to distribution agent in SEC Fair Fund matter
- Retained by broker-dealers and investment advisers to review and revise written supervisory procedures