

Related Services

- Corporate

Regulatory Compliance and Enforcement Actions

Deep insights into the regulatory and political framework, combined with our longstanding relationships with industry leaders, enable our team to craft comprehensive strategic solutions to meet our clients' regulatory challenges and business goals.

Our team includes former high-level enforcement officials and regulators and we leverage our extensive industry knowledge to help financial services firms develop and maintain pragmatic internal compliance systems, identify risks and create and implement policies and procedures to address the ever-expanding range of regulatory requirements.

We handle both routine and targeted inspections and inquiries by the CFPB, OCC, FTC, SEC and other federal and state regulators. We guide clients through regulatory examinations, respond to regulatory inquiries, draft responses to investigative demands and deficiency letters and, when necessary, defend them in enforcement actions.

Experience

- Representing financial companies and their officers and directors in class action and individual litigation arising under the federal securities laws, federal commodities laws and regulatory matters involving virtually all traded commodities and the instruments through which they are traded worldwide.
- Advising leading investment funds and fund managers in disputes involving enforcement and default issues in the financial markets, alleged breaches of duty, contentious regulatory issues, investigations and reputation management.
- Counseling clients in investigations and inquiries before government agencies and self-regulatory organizations, including the CFTC, the SEC, the National Futures Association, FINRA and the various exchanges.
- Representing broker-dealers, investment banks, private equity funds and investment advisors in civil litigation, arbitration and regulatory matters.