

Related Services

- Employment Compliance Law
- Financial Services Litigation, Regulation and Enforcement
- Government Affairs
- Government Contracts
- Litigation

White Collar & Internal Investigations

When facing criminal charges, allegations of fraud or internal investigations, it is important to choose a veteran legal team. Stroock's White Collar & Internal Investigations attorneys are steeped in direct experience, handling civic and criminal matters first-hand as former assistant U.S. attorneys, former judges and a former branch chief of the SEC's Division of Enforcement. This kind of background means we know how these highly charged scenarios often play out. And that insight is critical to forming legal strategies that are protective and helpful to clients experiencing these stressful situations for the first time.

Stroock attorneys conduct complex internal investigations for boards of directors, board committees, corporations and individuals in connection with financial services regulatory and compliance matters, government enforcement actions and allegations of workplace harassment and discrimination. We are hired to handle matters of all kinds, including high-profile and discreet scenarios, with competency and sensitivity. Our experience is broad, including the following areas:

Financial Services Investigations

We conduct sensitive and complex investigations in the financial services industry. We handle matters relating to public company accounting practices, insider trading, the Foreign Corrupt Practices Act and anti-bribery/anti-money laundering compliance, consumer fraud and sales and trading compliance. Our experience includes conducting investigations in response to putative whistleblowers. We also regularly counsel our clients regarding potential self-reporting obligations.

Government Enforcement Actions

When government enforcement actions are initiated, our team steps in to guide clients every step of the way. Our attorneys' backgrounds are diverse and broadly experienced in handling civil and criminal investigations. Our team includes a former New York State attorney general, a former DOJ prosecutor and DOJ's first Special Counsel for Financial Institutions Crime, all who directly guide client responses to investigations. Our goal is to minimize risk and maximize the chance of the best possible outcome. We help clients respond to allegations of federal racketeering, securities violations, tax evasion, bribery, fraud, corruption, obstruction of justice, money laundering, environmental offenses and customs violations.

Government Contracting

We counsel clients as they conduct internal investigations that are either self-initiated or in response to a government audit, inquiry, subpoena, or claim. Our team guides clients through the full range of considerations for government contracts, including contract procurement and obligation

White Collar & Internal Investigations analysis under the mandatory disclosure rules applicable to federal contractors.

Workplace Issues

Employer relationships with employees are sometimes complicated. Strong preventative measures are critical to appropriately handle and respond to claims of workplace misconduct. We handle investigations into discrimination, harassment, diversity, disability and downsizing matters, among others. Leveraging our extensive experience in employment law, our team conducts internal investigations and advises how to handle claims appropriately and thoroughly. Our attorneys represent employers in connection with enforcement actions, as well as civil and criminal proceedings.