

Securities Enforcement and Regulation

Our Securities Enforcement and Regulation practice advises leading public companies, financial institutions, regulated entities, boards of directors, auditors and senior executives, officers and directors in all types of securities law enforcement matters. These representations often remain non-public due to successful resolution without any action against our clients. Alternatively, when regulators or law enforcement are determined to bring an action, we are highly experienced in negotiating favorable resolutions or in effectively litigating the case, as circumstances warrant.

We also routinely conduct internal and independent investigations on behalf of companies, audit committees and other board committees. Additionally, we proactively advise clients on compliance matters. For public companies this may include disclosure and internal controls design, whistleblower, clawback, insider trading, and anti-bribery policies and all manner of corporate governance concerns. For regulated entities, we often assist with designing and testing compliance policies and procedures, preparing for and responding to regulatory examinations and assessing new or differentiated products with respect to both regulatory and market risk. We closely monitor regulatory rule-making and assist our clients with preparing for and complying with these new rules.

Our team includes numerous experienced practitioners, including former senior officials at the SEC, DOJ, PCAOB and FINRA. We regularly and successfully appear before the SEC, DOJ, PCAOB, CFTC and FINRA, as well as state regulators and foreign authorities. At any given time, we are representing clients in dozens of active investigations before these agencies involving matters related to public company accounting and disclosure, securities trading and

Capability Lawyers



Carmen Lawrence
New York



Alec Koch
Washington, D.C.



Dixie L. Johnson
Washington, D.C.



Aaron W. Lipson
Atlanta



William Johnson (Bill)
New York



Andrew Michaelson
New York

Recognition

Dixie Johnson, Carmen Lawrence and Richard Walker Named Top 40 Securities Enforcement Defense Lawyers

SECURITIES DOCKET,
2020

Three-time winner of White Collar Practice Group of the Year

information barriers, auditor liability, asset management and investment advisers, broker-dealers, private funds, cybersecurity, digital assets, the FCPA, corporate governance, municipal securities and credit rating agencies.

We have the experience to guide you through the investigatory process, the credibility to advocate effectively for you before the enforcement authorities, the skill to litigate when necessary and track record of success when doing so, and the judgment to help you achieve the best possible outcome in a variety of high-stakes matters.

Cases & Deals

September 12, 2023

Rio Tinto Secures Victory in the Second Circuit

[VIEW ALL](#)

Insights

CLIENT ALERT

April 2, 2024

PCAOB Division of Enforcement's First Quarter Continues Record-Setting Pace

ARTICLE

March 6, 2024

SEC 'Neither-Understands/Nor-Cares' About Realities of Settlement Gag Rule

ARTICLE

March 4, 2024

SEC Broadens Definition of 'Dealer'

[VIEW ALL](#)

Events

SPEAKING ENGAGEMENT

May 22, 2024

Aaron Lipson to Speak at Practising Law Institute

SPEAKING ENGAGEMENT

May 3, 2024

Amelia Medina to Speak at the Atlanta Bar Association White Collar Crime Program

SPEAKING ENGAGEMENT

March 13, 2024

Aaron Lipson to Speak at Whistleblower Law Symposium at Georgia State University College of Law

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News

PRESS RELEASE

April 23, 2024

Securities Regulation Partner Emily Gordy Joins King &

LAW360

Winner of Securities Practice Group of the Year

LAW360

Recognized for Securities Regulation Nationwide

U.S. NEWS BEST LAW FIRMS, 2024

Top Firm for Securities: Regulation: Enforcement Nationwide

CHAMBERS USA, 2023

"The firm has outstanding experience and competence with SEC investigations."

CHAMBERS USA, 2023

"King & Spalding is excellent in evaluating complex issues that arise in a timely manner."

CHAMBERS USA, 2023

Spalding in Washington, D.C.

IN THE NEWS

March 11, 2024

Former PCAOB Trial Counsel Mike Plotnick joins the firm's Special Matters and Government Investigations practice group as a partner in Washington, D.C.

PRESS RELEASE

March 11, 2024

Former PCAOB Trial Counsel Mike Plotnick Joins King & Spalding to Enhance SEC and Professional Services Liability Defense Practice

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