

FINRA Compliance and Enforcement Practice



EXTENSIVE FIRST-HAND FINRA EXPERIENCE

King & Spalding's FINRA Compliance and Enforcement practice group provides comprehensive advice to financial institutions, broker-dealers, and associated individuals concerning both novel and complex regulatory and compliance issues.

Our team is anchored by five former FINRA attorneys with decades of collective experience as securities regulators. The team, which includes a Deputy Enforcement Chief, Senior Litigation Counsel, and principal attorney in FINRA's High Risk Broker Unit, collectively led many of FINRA's highest profile cases. Our team also includes former high-ranking SEC enforcement officials, former federal and local prosecutors, a former White House counsel, and others who have served for decades as trusted counsel for Fortune 500 companies and global financial institutions.

Our attorneys are uniquely qualified to counsel clients in connection with FINRA examinations, investigations, disciplinary proceedings, arbitration claims, and other related matters.

GOVERNMENT MATTERS PRACTICE

King & Spalding's FINRA team is part of our larger Government Matters practice group, comprised of over 300 attorneys. These lawyers guide clients through rapidly changing regulatory landscapes, complex investigations by U.S. and foreign enforcement authorities, highly sensitive internal investigations and related, often parallel civil proceedings. Our full-service approach provides clients with expert guidance on a broad array of best practices, thereby minimizing the risk of future regulatory action.

CONTACTS



Carmen Lawrence
clawrence@kslaw.com
+1 212 556 2193



Russell Johnston
rjohnston@kslaw.com
+1 212 827 4081



Mirella deRose
mderose@kslaw.com
+1 212 827 4083



Richard Margolies
rmargolies@kslaw.com
+1 212 827 4080



Michael Watling
mwatling@kslaw.com
+1 212 827 4082



Russ Ryan
rryan@kslaw.com
+1 202 626 5457

AREAS OF FOCUS:

- Enforcement investigations;
- Internal investigations of customer complaints;
- Cycle examinations;
- Targeted exam letters ("sweeps");
- Cause examinations;
- 8210 requests and on-the-record testimony (OTRs);
- Arbitrations and dispute resolution proceedings;
- Complaints, hearings and appeals;
- Securities fraud litigation;
- Financial crimes compliance;
- Wells Notices;
- Letters of Acceptance, Waiver and Consent;
- Employee misconduct and supervision;
- Self-reporting, cooperation and remediation;
- Member applications;
- Capital formation;
- Advertising regulations;
- Custody and clearing;
- Anti-money laundering;
- Market manipulation and trading violations;
- Sales practice supervision;
- FinTech;
- Cybersecurity;
- Cryptocurrency;
- Customer Information protection and data privacy;
- Written supervisory procedures