Securities Enforcement and Regulation

Our Securities Enforcement and Regulation group advises leading financial institutions, regulated entities and public companies, boards of directors and audit committees, and individual 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.

Our team includes the only person in history to have served as both Director of Enforcement and General Counsel of the SEC, a former Director of the SEC’s Northeast Regional Office, a former Assistant Director in the SEC’s Enforcement Division, a former Assistant Attorney General in charge of DOJ’s Criminal Division, a former U.S. Attorney who co-chaired the Securities and Commodities Fraud Working Group which includes the DOJ, Federal Bureau of Investigation, Securities and Exchange Commission, Commodity Futures Trading Commission, Financial Industry Regulatory Authority and other agencies, and a former Chief of the Securities and Commodities Fraud Task Force in the Southern District of New York’s U.S. Attorney’s Office, as well as other state and federal prosecutors, and experienced SEC enforcement practitioners focused on only securities matters. We regularly and successfully appear before the SEC, DOJ, CFTC, FINRA, PCAOB, the U.K. FCA and other international authorities and state regulators.

We have the experience to guide you through the investigatory process, the credibility to advocate effectively for you before the enforcement authorities, and the judgment to help you achieve the best possible outcome in a variety of high-stakes matters.

**Entities we serve:**

* • Public and Private Companies
* • Boards and Board Committees
* • Financial Institutions
* • Investment Advisers and Private Funds
* • Broker-dealers
* • Credit Rating Agencies
* • Private Equity and Venture Capital Funds
* • Accounting Firms
* • Law Firms
* • Exchanges and Self-Regulatory Organizations
* • Commodity Market Participants
* • Municipalities and other Government Entities

**Individuals we serve:**

* • Auditors
* • Lawyers
* • Directors and Officers
* • Securities and Commodities Industry Professionals
* • Other Professionals

**Specialty matters:**

* • Auditor and Professional Liability
* • Corporate Accounting and Disclosure
* • Corporate Governance
* • FCPA
* • Asset Management
* • Insider Trading and Tipping
* • Complex Financial Products

**Work for which we are recognized:**

* • Board Investigations
* • Corporate Governance Counseling
* • Compliance Counseling
* • Cross-border Investigations
* • Due Diligence
* • Government Investigations
* • Internal Investigations
* • Litigation against the Government
* • Regulatory Examination Counseling

**Agencies/Organizations we appear before:**

* • Securities and Exchange Commission - SEC (we’ve appeared before all 12 field offices and specialized units)
* • Department of Justice – DOJ (we’ve appeared before 73 of the 93 U.S. Attorney’s Offices)
* • Financial Industry Regulatory Authority – FINRA
* • Commodities Futures Trading Commission - CFTC
* • Internal Revenue Service – IRS
* • Food and Drug Administration – FDA
* • Office of the Comptroller of Currency – OCC
* • Public Company Accounting Oversight Board – PCAOB
* • The Federal Reserve
* • State Attorneys General
* • UK Financial Conduct Authority - FCA
* • Hong Kong Securities and Futures Commission
* • Swiss Financial Market Supervisory Authority
* • German BaFin
* • Brazilian Federal Prosecution Offices
* • Transport Canada
* • World Bank
* • NYS Department of Financial Services - DFS

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Capability Lawyers

Dixie L. Johnson

Washington, D.C.

Carmen Lawrence

New York

Richard Walker (Dick)

Washington, D.C.

Alec Koch

Washington, D.C.

William Johnson (Bill)

New York

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Recognition

One of seven law firms nationwide shortlisted for Government Investigations Firm of the Year

**–––––**

LMG Life Sciences (2022)

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

**–––––**

Securities Docket, 2020

Two-time White Collar Practice Group of the Year

**–––––**

Law360

Cases & Deals

*2023-09-12*

Rio Tinto Secures Victory in the Second Circuit

[VIEW ALL](https://www.kslaw.com/news-and-insights?capability_id=20&post_category_id=1&post_type=0)

Insights

Article

*2024-03-06*

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

Article

*2024-03-04*

SEC Broadens Definition of ‘Dealer’

Client Alert

*2024-02-09*

SEC Adopts Rules Requiring Certain Trading Entities, Including Certain Investment Advisers and Private Funds, to Register as Broker-Dealers

[VIEW ALL](https://www.kslaw.com/news-and-insights?capability_id=20&post_type=2)

Events

Speaking Engagement

*2024-05-22*

Aaron Lipson to Speak at Practising Law Institute

Speaking Engagement

*2024-03-13*

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

Speaking Engagement

*2024-01-22*

Dixie Johnson to Chair and Elizabeth Morgan to Speak at the 51st Securities Regulation Institute Conference

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News

In the News

*2024-03-11*

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

*2024-03-11*

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

In the News

*2024-01-24*

Mark Kirsch counsels Craig Dean, Sam Valler and Boris Kripitser, former Metals Trading directors, in a derivative breach of fiduciary duty and constructive trust case before a Connecticut federal court

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