

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:

Capability Lawyers



Dixie L. Johnson
Washington, D.C.



Carmen Lawrence
New York



Richard Walker (Dick)
New York



M. Alexander Koch (Alec)
Washington, D.C.



William Johnson (Bill)
New York

Recognition

"White Collar Practice Group
of the Year"
LAW360, 2010 AND 2016

Recognized for Excellence
For Securities and Financial
Services Regulations
CHAMBERS USA

Dixie Johnson ranked Band
1 for Securities Regulation
CHAMBERS USA, 2017

- 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

Listed on annual list of world's top 30 firms for investigations
GLOBAL INVESTIGATIONS REVIEW

Carmen Lawrence is "regularly representing clients in high stakes regulatory matters."
CHAMBERS

"Dixie Johnson enjoys a 'long and excellent reputation' among market observers"
CHAMBERS

"An impressed client describes the firm's lawyers as 'top notch'
CHAMBERS

"Dixie Johnson wins praise across the board for her 'terrific' relationship with the SEC"
CHAMBERS

Carmen Lawrence praised "for her 'outstanding' ability"
CHAMBERS

"Clients speak to the 'practical nature of the team's advice."
CHAMBERS

"They have a really thorough and expert understanding of the law."
CHAMBERS

Recognized for being "straight-shooters and working collaboratively with other firms"
CHAMBERS

- 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

Cases & Deals

Independent Investigation for Audit Committee of Fortune 100 Software Company

Independent Investigation for Special Board Committee of a Public Energy Services Supplier

Independent Investigation for Audit Committee of Fortune 250 Technology Committee

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Insights

ARTICLE

July 24, 2019

“Spoofing”: US Law and Enforcement

CLIENT ALERT

July 19, 2019

Why It’s Taking So Long: the SEC and FINRA Issue Guidance on Crypto Broker-Dealer Complexities

ARTICLE

July 18, 2019

FSOC and the Systemic Risk of Nonbank Companies

[VIEW ALL](#)

Events

SPEAKING ENGAGEMENT

November 4, 2019

Dick Walker, Carmen Lawrence, Dixie Johnson to Speak at Practising Law Institute’s 51st Annual Institute on Securities Regulation

SPEAKING ENGAGEMENT

May 21, 2019

Lisa Bugni to Speak at Institute for Energy Law’s 6th Mergers & Acquisitions in Energy Law Conference

SPEAKING ENGAGEMENT

May 10, 2019

Jessica Corley to Speak at State Bar of Georgia

[VIEW ALL](#)

News

IN THE NEWS

August 20, 2019

Alec Koch advises TherapeuticsMD on a settlement agreement with the SEC

IN THE NEWS

June 27, 2019

Aaron Lipson explains how the Lorenzo v. SEC ruling helps the SEC better protect investors

IN THE NEWS

June 13, 2019

K&S's analysis on companies issuing digital assets to raise funds is referenced in a Thomson Reuters article on blockchain and the initial coin offerings process

[VIEW ALL](#)
