

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)
Washington, D.C.



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



William Johnson (Bill)
New York

Recognition

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

Dixie Johnson ranked Band

- 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

1 for Securities Regulation 4 years running

CHAMBERS USA, 2020

Ranked as one of the world's top 25 firms for investigations

GLOBAL INVESTIGATIONS REVIEW, 2020

“Strong bench of go-to enforcement attorneys with notable regulatory capabilities”

CHAMBERS USA, 2020

“The team was impeccable. They have been an outstanding partner to us”

A CLIENT TO CHAMBERS USA, 2020

- 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

Insights

ARTICLE

January 1, 2022

Decentralized Finance—Risks, Regulation, and the Road Ahead

ARTICLE

October 1, 2021

FedNow Service Pilot Program Gaining Traction and Support

ARTICLE

September 29, 2021

SEC Cybersecurity Disclosure Enforcement Heats Up: Best Practices

VIEW ALL

Events

SPEAKING ENGAGEMENT

December 3, 2021

Aaron Lipson to Speak on Atlanta Bar Association's 28th Annual Securities Litigation and Regulatory Practice Virtual Seminar

SPEAKING ENGAGEMENT

June 16, 2021

Shas Das to Speak at Center for Professional Education's SEC Conference for Asia-Based Listed Companies

SPEAKING ENGAGEMENT

April 22, 2021

Michael Biles to Speak on 72nd Annual Oil & Gas Law Webex Conference

VIEW ALL

News

IN THE NEWS

November 19, 2021

Cal Smith and Dixie Johnson discuss the firm ramping up work in the ESG space as more and more of the firm's clients are being affected by the implications of ESG initiatives

IN THE NEWS

October 1, 2021

Daniel Sale, Ed Power, William Johnson and Carmen Lawrence represent Osiris Therapeutics' former CFO Philip Jacoby before a Maryland federal court in a SEC matter

IN THE NEWS

September 30, 2021

Abigail Bortnick, Jennifer Guest and Matthew Wissa's client alert is highlighted in a profile that examined the GOP's opposition to more corporate ESG reporting

[VIEW ALL](#)
