

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

May 14, 2025

King & Spalding Secures Dismissal and Unprecedented Sanctions Against CFTC Enforcement Staff

June 20, 2024

King & Spalding Secures Significant Summary Judgment for Ripple

September 12, 2023

Rio Tinto Secures Victory in the Second Circuit

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Insights

CLIENT ALERT

October 7, 2025

Chastain: Pushing the Boundaries of Insider Trading

CLIENT ALERT

September 30, 2025

ADGM FSRA implements amendments to its Digital Asset Regulatory Framework

ARTICLE

September 22, 2025

Hotel Management & Transactions 2025: UAE

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Events

SPEAKING ENGAGEMENT

September 10, 2025

Russell Sacks, Emily Gordy, Steven Blau, Sean Kelly and Michael Regan to Speak at the E&Y's Broker-Dealer Round Table

SPEAKING ENGAGEMENT

April 3, 2025

Michael Galdo to Speak at the Federal Procurement Institute

SPEAKING ENGAGEMENT

March 13, 2025

Alec Koch to Speak on the SEC enforcement update

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

webinar

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News

RECOGNITION

November 5, 2025

Securities Docket Names Six King & Spalding Partners to its “Enforcement Elite” List

IN THE NEWS

November 3, 2025

Alec Koch participates on a panel at the Securities Enforcement Forum D.C. 2025 that examines how to defend parallel investigations involving the SEC, DOJ and State Attorneys Generals

IN THE NEWS

August 27, 2025

Alec Koch, Aaron Lipson, Carmen Lawrence, Bill Johnson, Andrew Michaelson, Emily Gordy, Matthew Hanson, Dixie Johnson, Brian Miller, Clarissa Moliterno and Tiara Galvez’s Client Alert is referenced in profiles examining the SEC’s marked decline in enforcement activity this year

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