

# Securities Enforcement and Regulation

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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

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

LMG LIFE SCIENCES  
(2022)

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

SECURITIES DOCKET,  
2020

- 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

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Two-time White Collar  
Practice Group of the Year

LAW360

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Dixie Johnson ranked Band  
1 for Securities Regulation 4  
years running

CHAMBERS USA, 2020

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

GLOBAL INVESTIGATIONS  
REVIEW, 2020

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

CHAMBERS USA, 2020

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

A CLIENT TO CHAMBERS  
USA, 2020

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- 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

*September 12, 2023*

Rio Tinto Secures Victory in the Second Circuit

[VIEW ALL](#)

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## Insights

### CLIENT ALERT

*February 9, 2024*

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

### CLIENT ALERT

*February 8, 2024*

SEC Approves FINRA Supervisory Control Rules Expanding Remote Work Options for Broker-Dealers

### CLIENT ALERT

*January 5, 2024*

FBI and DOJ Offer Guidance on SEC Cybersecurity Incident Disclosure Rules

[VIEW ALL](#)

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## Events

### SPEAKING ENGAGEMENT

*May 22, 2024*

Aaron Lipson to Speak at Practising Law Institute

### SPEAKING ENGAGEMENT

*March 13, 2024*

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

### SPEAKING ENGAGEMENT

*January 22, 2024*

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

[VIEW ALL](#)

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## News

### PRESS RELEASE

*March 11, 2024*

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

### IN THE NEWS

*January 24, 2024*

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

### IN THE NEWS

*January 9, 2024*

Dixie Johnson explains how a work-from-home environment post-COVID has impacted insider trading

[VIEW ALL](#)

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