

Carmen Lawrence

Partner

*Securities Enforcement and Regulation /
Special Matters and Government
Investigations*

New York: +1 212 556 2193
clawrence@kslaw.com



Carmen Lawrence focuses on securities-related government investigations and litigation. As a partner in our Special Matters and Investigations practice and co-lead of our Securities Enforcement and Regulation practice, Carmen represents public and private companies in a range of securities-related regulatory and business matters.

Carmen represents parties in investigations and litigation conducted primarily by the Securities and Exchange Commission, the Commodity Futures Trading Commission and the U.S. Department of Justice, as well as self-regulatory organizations and state securities regulators. She conducts internal investigations, provides crisis management advice, and counsels companies and regulated entities (broker-dealers and investment advisers) on their obligations under the federal securities law.

Previously, Carmen was Regional Director for the SEC's Northeast Regional Office, the agency's largest region covering 14 U.S. states and the District of Columbia. In this role, she oversaw all enforcement and regulatory operations in the region, bringing some of the SEC's most significant cases. Prior to that, she was Senior Associate Regional Director, heading up the Northeast Regional Office's Enforcement Division after serving in senior and staff roles.

Carmen is a frequent speaker and lecturer in continuing legal education programs on federal securities matters. She has received consistent recognition from *Chambers USA* as a Leading Individual for Securities Regulation and for Litigation—White-Collar Crime & Government Investigations, as well as for Financial Services Litigation.

In 2016, *Legal 500* ranked Carmen for Securities Litigation—Defense. She has also been recognized by *Benchmark Litigation* as a New York Litigation Star, and was named to *Securities Docket's* inaugural Enforcement 40 list of top SEC enforcement lawyers in 2013.

Matters

Represented a **major financial institution** in a multiyear investigation by the SEC and foreign regulators involving credit derivatives trading, risk management and valuation practices.

Represented **an investment advisor and its CEO and fund manager** in connection with stock manipulation and insider trading investigations by the SEC, the DOJ, the Hong Kong Securities and Futures Commission, and the Japan Securities and Exchange Surveillance Commission.

Represented **an SEC-registered credit rating agency** in connection with industry-wide investigations being conducted by the SEC and the New York Attorney General concerning potential ratings shopping.

Represented **the audit committee of a public company** in a sweeping internal investigation involving complex accounting and internal control issues.

Represented **a state's Department of the Treasury** in connection with an SEC investigation involving disclosures in the state's municipal bond offerings.

Represented **numerous senior executives** in SEC and/or DOJ investigations involving insider trading, financial fraud, FCPA, and broker-dealer or investment advisor regulatory issues.

Credentials

ADMISSIONS

New York

ASSOCIATIONS

Co-chair, Subcommittee on SEC Enforcement and Civil Litigation, American Bar Association, Business Law Section

Fellow, Litigation Counsel of America, The Trial Lawyer Honorary Society

Recognition

Band 3: Nationwide Securities Regulation and Enforcement

CHAMBERS USA

Top 250 Women in Litigation and a Local Litigation Star, NY

BENCHMARK LITIGATION

National White-Collar Litigation Star

BENCHMARK LITIGATION, 2015

Top 40 SEC Enforcement Defense Lawyers

SECURITIES DOCKET

Financial Services: Litigation and White-Collar Criminal Defense

LEGAL 500

Administrative/Regulatory Law and Criminal Defense: White Collar

THE BEST LAWYERS IN AMERICA, 2014–2015

Equal Employment Opportunity Award

THE SECURITIES AND EXCHANGE COMMISSION, 1998

Presidential Distinguished Executive Award

THE SECURITIES AND EXCHANGE COMMISSION, 1995

Stanley Sporkin Award

THE SECURITIES AND EXCHANGE COMMISSION, 1993

Irving M. Pollack Award, for leadership, integrity and intellect

THE SECURITIES AND EXCHANGE COMMISSION, 1990

Insights

CLIENT ALERT

June 24, 2021

Repairing A “Crack” in Insider Trading Regulation: SEC Rule 10b5-1 Trading Plans Face Increased Scrutiny

April 8, 2021

SEC and FINRA Emphasize Cybersecurity, AML, and Reg BI as Key Areas of Focus for Broker-Dealer Examinations in 2021

April 1, 2021

SEC Division of Examinations – 2021 Priorities

[VIEW ALL ON KSLAW.COM](#)

Events

CONFERENCE

November 12, 2019

12th Annual King & Spalding Pharmaceutical University

SPEAKING ENGAGEMENT

October 15, 2020

Carmen Lawrence to Speak at Practising Law Institute’s Broker/Dealer Regulation and Enforcement 2020 Program

WEBINAR

November 10, 2020

13th Annual King & Spalding Medical Device Summit

[VIEW ALL ON KSLAW.COM](#)

News

IN THE NEWS

October 1, 2021 • Source: Law360

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

RECOGNITION

November 10, 2021

GIR Names King & Spalding to List of Top 30 Global Investigations Firms for Seventh Year

October 13, 2021

Benchmark Litigation Recognizes King & Spalding as a Leading Litigation Firm

[VIEW ALL ON KSLAW.COM](http://www.kslaw.com)