

## M. Alexander Koch (Alec)

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

---

Washington, D.C.: +1 202 626 8982  
Mobile: +1 202 740 4863  
akoch@kslaw.com



Alec Koch specializes in representing public companies, financial institutions, and individuals in securities enforcement investigations. Alec also regularly conducts internal investigations on behalf of board committees and companies, advises clients on regulatory compliance and corporate governance issues, and is a member of our firm's Financial Services leadership team. A partner in our Special Matters and Government Investigations practice and a former Assistant Director in the Securities and Exchange Commission's Division of Enforcement, Alec represents clients before the SEC, the Department of Justice, and other regulatory authorities. He has been ranked by *Chambers USA*, which wrote that Alec has "broad market approval for his enforcement-side practice" and was described by sources as "an extraordinary lawyer."

From 2002 to 2016, Alec was a member of the SEC's Division of Enforcement, where he supervised investigations of all types, including matters involving: regulated entities such as broker-dealers, credit rating agencies, and investment advisers; public company accounting and disclosure; the Foreign Corrupt Practices Act; insider trading; and securities offerings. Throughout his time at the SEC, Alec had significant responsibility for the SEC's obligations under the landmark Global Research Analyst Settlement. He also served as a member of the Division of Enforcement's Broker-Dealer Task Force, as the co-chair of the Division of Enforcement's Priorities and Resources Subcommittee, and as a liaison between the Division of Enforcement and the SEC's Office of Credit Ratings.

Since 2017, Alec has served on the board of directors of the Ethics Research Center, an arm of the Ethics & Compliance Initiative, a non-profit organization that works to assist public companies and other institutions with building strong ethics and compliance cultures and programs.

Prior to joining the SEC, Alec was an associate at King & Spalding from 1997-2002. He rejoined the firm in 2016.

### Matters

Represented **one of the world's largest banks** in a DOJ investigation pursuant to the Financial Institutions Reform, Recovery, and Enforcement Act concerning the origination and sale of residential mortgage-backed securities during the years leading up to the financial crisis.

Representing the **independent directors of a commercial flooring company** in an SEC investigation of earnings-related disclosures.

Representing **the CEO of a healthcare logistics company** in SEC and DOJ investigations of the company's disclosures concerning PPE transactions.

Representing a **provider of services to the healthcare industry** in an SEC investigation of earnings-related disclosures.

Representing a **multinational healthcare company** in connection with its continuing self-reporting obligations under an FCPA settlement with the DOJ and SEC.

Representing the **audit committee of a public biopharmaceutical company** in an internal investigation and related government investigations into allegations of accounting fraud and whistleblower retaliation.

Representing a **public company provider of services to the healthcare industry** in an SEC investigation of earnings-related disclosures.

Representing a **public pharmaceutical company** in an SEC investigation of potential selective disclosures and Reg FD violations.

Representing an **international chemical company** in anti-corruption investigations being conducted by U.S. and Dutch authorities.

Representing the **independent directors of a public company** in connection with an SEC investigation of earnings-related disclosures.

Representing a **public electrical utility** in an SEC investigation of the utility's historical bond offerings.

Defended **one of the world's largest banks** in a DOJ investigation pursuant to the Financial Institutions Reform, Recovery, and Enforcement Act concerning the origination and sale of residential mortgage-backed securities during the years leading up to the financial crisis.

Represented the **audit committee of a public media analytics company** in an internal investigation and related government investigations into more than 20 separate allegations of accounting fraud and whistleblower retaliation.

Defended **a major U.S. law firm and several of its partners and employees** in an SEC investigation concerning the activities of the firm's former client, an asset manager.

## Credentials

### EDUCATION

J.D., Georgetown University, cum laude

B.A. History, University of Virginia, Dean's List

### ADMISSIONS

District of Columbia

## LANGUAGES

English

## Recognition

Recognized for "broad market approval for his enforcement-side practice" and described as "an extraordinary lawyer." - Chambers USA, Securities Regulation: Enforcement

USA - NATIONWIDE

---

## Insights

### NEWSLETTER

*September 30, 2021*

Financial Services Focus - September 2021

*June 28, 2021*

Financial Services Focus - June 2021

*April 13, 2021*

Financial Services Focus International – April 2021

[VIEW ALL ON KSLAW.COM](#)

## Events

### CONFERENCE

*September 12, 2019*

Financial Services Summit

*November 15, 2016*

9th Annual King & Spalding Pharmaceutical University

### WEBINAR

*May 31, 2017*

ClinicalTrials.gov – Navigating the New Rule and the Expansion of Public Disclosure of Your Clinical Trial Data

[VIEW ALL ON KSLAW.COM](#)

## News

### RECOGNITION

*May 20, 2021*

Chambers USA 2021 Names 179 K&S Lawyers and 65 K&S Practice Groups as Leaders in Their Fields

*October 23, 2020*

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

*April 24, 2020*

King & Spalding Earns Top Rankings in Chambers USA 2020 Guide

[VIEW ALL ON KSLAW.COM](#)