

## M. Alexander Koch (Alec)

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

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Alec Koch specializes in defending public companies, regulated entities, and individuals in government investigations, with a particular focus on securities enforcement. A partner in our Special Matters and 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. Alec also regularly conducts internal investigations and advises clients on regulatory compliance and corporate governance issues.

From 2002 to 2016, Alec was a member of the SEC's Division of Enforcement, where he supervised, conducted, and litigated investigations and enforcement actions 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; whistleblowers; insider trading; securities offerings; and microcap fraud. 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 one of the liaisons between the Division of Enforcement and the SEC's Office of Credit Ratings. In these roles, he collaborated frequently with the SEC's other divisions and offices, as well as with FINRA, federal criminal authorities, and state and foreign securities regulators.

While at the SEC, Alec was a member of the Division of Enforcement's Broker-Dealer Task Force Steering Committee, which was responsible for developing and overseeing investigative initiatives regarding broker-dealers. He also served as the co-chair of the Division of Enforcement's Priorities and Resources Subcommittee. In that role, Alec helped to conduct a review to evaluate and make recommendations concerning the Division's priorities and allocation of resources. He served as a member of the Enforcement Division's Hiring Committee and received the SEC's Capital Markets Award in 2004, as well as numerous Division Director Awards.

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

Representing the **audit committee of a public company** in an internal investigation and related government investigations into more than 20 separate allegations of misconduct relating to accounting fraud and whistleblower retaliation.

Defending **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 an **investment adviser** in an SEC investigation of potential disclosure and valuation issues.

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

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

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

Representing a **public software company** in an SEC investigation of potential accounting and disclosure issues.

Representing an **international chemical company** in an international anti-corruption internal investigation and related compliance counseling.

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

## Insights

### CLIENT ALERT

*April 4, 2019*

Supreme Court Affirms *Lorenzo v. SEC*, Expanding the Scope of Primary Liability for Securities Fraud

*October 23, 2018*

The Catch with Kokesh: Insurers Refusing to Cover Disgorgement to SEC

October 17, 2018

Recent SEC Enforcement Actions Reinforce the Importance of Effective Supervision, Policies, and Procedures for Broker-Dealers and Investment Advisers

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## Events

### CONFERENCE

February 20, 2018

Crisis Management Tokyo Roundtable: Global Insights from our Government Investigations and Crisis Management Leaders

November 9, 2017

10th Annual King & Spalding Pharmaceutical University

### SPEAKING ENGAGEMENT

November 29, 2017

Zack Harmon, Alec Koch to Speak at ACI's International Conference on the Foreign Corrupt Practices Act

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## News

### IN THE NEWS

April 5, 2019 • Source: *Anti-Corruption Report*

Alec Koch quoted on the Ninth Circuit Court of Appeals' recent finding that whistleblowers reporting possible violations of the FCPA's bribery provisions are not protected by the Sarbanes-Oxley Act

January 8, 2019 • Source: *Bloomberg Law*

Alec Koch comments on the effects of the Federal Government's partial shutdown on initial public offerings and the securities industry

### RECOGNITION

King & Spalding Earns Top Rankings in Chambers USA 2019 Guide

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