

## Regulatory Proceedings

We advise on civil and criminal investigations and allegations and provide early resolution of potential criminal problems, often in mission-critical situations where reputations are on the line.

### Regulatory Strengths

Drawing on our trial experience and backgrounds in high-level government service, including the SEC and the U.S. Attorney's Office, we deal with regulatory and government agencies to help clients avoid the harmful consequences of government action, and to defend companies and corporate management in pre-litigation defense strategies and at trial.

### Leaders in Securities and Commodities Arena

Representing clients in a wide range of industries, we are widely recognized thought leaders on legal and compliance issues in the highly-regulated securities and commodities arena. We represent major brokerage firms, banks and financial services companies in responding to regulatory investigations and inquiries before the SEC, national, state and local regulatory authorities, and other federal and state agencies.

### Strategic Counsel

Our coordinated, effective strategies counter the full spectrum of regulatory violations, including federal grand jury and SEC investigations, and matters involving claims of fraud, failure to supervise, market manipulation, conspiracy, RICO, price-fixing and market allocation, antitrust violations, pre-arranged trading, commodities markets, public corruption and federal tax violations. We also represent individual employees, officers, and directors in employment-related regulatory matters.

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#### KEY CONTACT

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Regulatory Proceedings

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#### RELATED CLIENT SERVICES

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