

# Securities Enforcement and Regulation

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Our Securities Enforcement and Regulation practice advises leading public companies, financial institutions, regulated entities, boards of directors, auditors and 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. Alternatively, when regulators or law enforcement are determined to bring an action, we are highly experienced in negotiating favorable resolutions or in effectively litigating the case, as circumstances warrant.

We also routinely conduct internal and independent investigations on behalf of companies, audit committees and other board committees. Additionally, we proactively advise clients on compliance matters. For public companies this may include disclosure and internal controls design, whistleblower, clawback, insider trading, and anti-bribery policies and all manner of corporate governance concerns. For regulated entities, we often assist with designing and testing compliance policies and procedures, preparing for and responding to regulatory examinations and assessing new or differentiated products with respect to both regulatory and market risk. We closely monitor regulatory rule-making and assist our clients with preparing for and complying with these new rules.

Our team includes numerous experienced practitioners, including former senior officials at the SEC, DOJ, PCAOB and FINRA. We regularly and successfully appear before the SEC, DOJ, PCAOB, CFTC and FINRA, as well as state regulators and foreign authorities. At any given time, we are representing clients in dozens of active investigations before these agencies involving matters related to public company accounting and disclosure, securities trading and

## Capability Lawyers



Carmen Lawrence  
*New York*



Alec Koch  
*Washington, D.C.*



Dixie L. Johnson  
*Washington, D.C.*



Aaron W. Lipson  
*Atlanta*



William Johnson (Bill)  
*New York*



Andrew Michaelson  
*New York*

## Recognition

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

SECURITIES DOCKET,  
2020

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Three-time winner of White Collar Practice Group of the Year

information barriers, auditor liability, asset management and investment advisers, broker-dealers, private funds, cybersecurity, digital assets, the FCPA, corporate governance, municipal securities and credit rating agencies.

We have the experience to guide you through the investigatory process, the credibility to advocate effectively for you before the enforcement authorities, the skill to litigate when necessary and track record of success when doing so, and the judgment to help you achieve the best possible outcome in a variety of high-stakes matters.

#### Cases & Deals

*September 12, 2023*

Rio Tinto Secures Victory in the Second Circuit

[VIEW ALL](#)

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#### Insights

##### CLIENT ALERT

*April 2, 2024*

PCAOB Division of Enforcement's First Quarter Continues Record-Setting Pace

##### ARTICLE

*March 6, 2024*

SEC 'Neither-Understands/Nor-Cares' About Realities of Settlement Gag Rule

##### ARTICLE

*March 4, 2024*

SEC Broadens Definition of 'Dealer'

[VIEW ALL](#)

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#### Events

##### SPEAKING ENGAGEMENT

*May 22, 2024*

Aaron Lipson to Speak at Practising Law Institute

##### SPEAKING ENGAGEMENT

*May 3, 2024*

Amelia Medina to Speak at the Atlanta Bar Association White Collar Crime Program

##### SPEAKING ENGAGEMENT

*March 13, 2024*

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

[VIEW ALL](#)

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#### News

##### PRESS RELEASE

*April 30, 2024*

King & Spalding Adds Partner Barry Kamar to Special

LAW360

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Winner of Securities Practice Group of the Year

LAW360

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Recognized for Securities Regulation Nationwide

U.S. NEWS BEST LAW FIRMS, 2024

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Top Firm for Securities: Regulation: Enforcement Nationwide

CHAMBERS USA, 2023

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"The firm has outstanding experience and competence with SEC investigations."

CHAMBERS USA, 2023

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"King & Spalding is excellent in evaluating complex issues that arise in a timely manner."

CHAMBERS USA, 2023

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## Matters and Government Investigations Practice in Miami

### PRESS RELEASE

*April 23, 2024*

Securities Regulation Partner Emily Gordy Joins King & Spalding in Washington, D.C.

### IN THE NEWS

*March 11, 2024*

Former PCAOB Trial Counsel Mike Plotnick joins the firm's Special Matters and Government Investigations practice group as a partner in Washington, D.C.

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