

PRACTICE AREA

## Investigations & Compliance



In a time of increasing regulatory scrutiny, individuals and organizations turn to LSW for help navigating high-stakes internal as well as government investigations, both civil and criminal. Our highly experienced team—including six former federal prosecutors and a former senior compliance officer—brings diligence, discretion, and sound judgment to these sensitive matters.

Successful internal investigations require rigorous fact-gathering as well as skillful analysis and communication. LSW represents companies conducting investigations, Special Committees of the Board charged with overseeing such investigations, witnesses, and individuals whose conduct is the subject of investigations. Having been involved with these matters from every angle, our lawyers have developed the tools to handle each one with maximum efficiency.

When LSW conducts an internal investigation, we probe issues objectively, quickly and thoroughly, determine the relevant facts, and balance the interests of various stakeholders—from shareholders and directors to investors, donors, and governmental authorities—to swiftly bring matters to a close. Drawing on the strength of our commercial litigation and regulatory practices, we can provide advice on compliance and corporate governance as needed to safeguard against future concerns. In addition to our work for organizational clients, we represent individuals who find themselves involved in an internal investigation as subjects or witnesses asked to provide information to investigators. In this capacity, we help clients navigate unfamiliar terrain, make informed decisions to protect their interests, and generally guide them through what can be a very anxiety-inducing process. LSW also routinely acts as “pool counsel,” bringing to bear extensive experience representing the individual interests of multiple witnesses in the same investigation.

We are highly experienced at representing clients based in foreign jurisdictions, and regularly advise individuals on the U.S. aspects of cross-border investigations, particularly when parallel investigations occur in multiple jurisdictions. We are sensitive to the variety of procedures in different legal and corporate cultures and coordinate closely with our colleagues at home and abroad to achieve optimal outcomes for our clients across borders.

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Clients value our firm's experience conducting investigations in both the public and private sectors as well as on behalf of not-for-profit organizations. We also provide counsel on potential criminal and regulatory exposure, referrals to law enforcement, voluntary cooperation with governmental authorities, and corporate governance issues.

### *Neutral Monitorships and Special Appointments*

The firm's partners have been appointed by courts, government agencies, and private parties to serve in a variety of neutral capacities and contexts. Our partners have served as:

- The RICO administrator of the Fulton Fish Market.
- The temporary receiver of a commodities firm.
- The receiver of a hedge fund.
- The trustee of an SEC disgorgement fund.
- The independent consultant approved by the SEC respecting accounting issues of a Fortune 500 corporation.
- The monitor and independent investigative counsel of a labor union.
- Investigative counsel with respect to a major accounting firm's compliance with rules governing auditor independence.

### *Our Clientele Includes*

- Corporations
- Corporate boards of directors and audit committees
- Directors and officers of publicly traded and private companies
- Employees at all levels, from secretary to CEO
- Intergovernmental organizations
- Hospitals
- Labor unions and union officials
- Law firms
- Nonprofit institutions
- Pension plan trustees
- Special committees of the board
- Universities