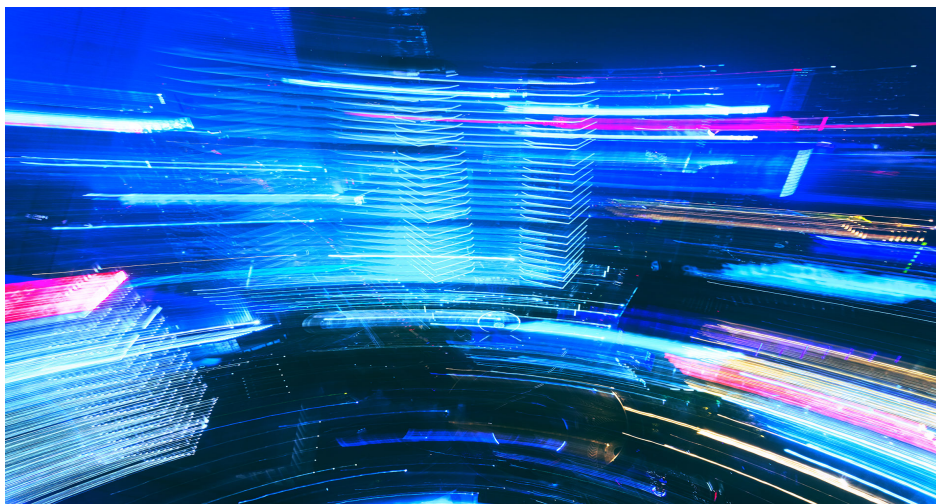


PRACTICE AREA

Securities and Regulatory Defense



EXPERIENCE

Accounting fraud and irregularities
Anti-money laundering
Bid-rigging schemes
Breach of fiduciary and other duties
Channel stuffing
Cyber
Foreign Corrupt Practices Act civil violations
Foreign Exchange (F/X)
Fraud
Improper practices regarding the sale of securities
Insider trading
Market and benchmark manipulation
Options backdating
Tax violations

Professionals and organizations embroiled in regulatory enforcement matters face critical threats to their business operations and market perception. We focus on resolving disputes quickly and quietly, helping our clients limit exposure and protect reputation.

LSW has represented hundreds of financial services industry clients accused of securities, commodities, and banking violations in civil and regulatory actions and proceedings. Drawing on decades of experience in matters related to the financial markets, we guide clients through every stage of the process, from informal inquiries and investigations to on-the-record testimony to—when necessary—litigation and trial.

Our lawyers are fluent in a wide range of financial instruments and trading platforms, including domestic and foreign exchanges as well as private trade among market participants. We have represented clients accused of improper practices in connection with the sale of various forms of securities, including municipal securities, auction rate securities, mortgage-backed securities, and derivative products.

We also defend individual and entities in regulatory matters in a variety of other market sectors, including pharmaceuticals, consumer products, energy, aviation, construction, insurance, higher education, real estate, technology, and automotive. *Chambers USA* notes that LSW "regularly advises on investigations and litigation involving financial markets and related antitrust claims."

The credibility and trust we have earned at the upper echelons of government help us smoothly navigate highly regulated industries. LSW's deep bench includes six former federal prosecutors, whose longstanding federal agency connections and experience enhance our ability to negotiate with the government effectively.

PRACTICE AREA

Securities and Regulatory Defense

Some of the regulatory entities before whom we have appeared include:

- Chicago Board Options Exchange (CBOE)
- Commodity Futures Trading Commission (CFTC)
- Federal Reserve Board
- Financial Industry Regulatory Authority (FINRA)
- New York State Department of Financial Services (DFS)
- Office of Foreign Assets Control (OFAC)
- Office of the Comptroller of the Currency (OCC)
- Office of Thrift Supervision (OTS)
- Offices of various state attorneys general
- U.S. Department of Justice (DOJ)
- U.S. Securities and Exchange Commission (SEC)

Our Clientele Includes

- Auditors
- Back office personnel
- Bankers
- Brokers
- Compliance officers
- Corporate executives
- Corporations
- General counsels
- Hedge fund managers
- Hedge funds
- Law firm partners
- Investment advisors
- Investment bankers
- Mutual fund managers
- Portfolio managers
- Real estate owners and managers
- Risk managers