

Our SEC Capabilities

Most investment advisers, broker-dealers, public companies, and other financial firms will at some point become involved in inquiries by the SEC, along with other agencies and self-regulatory organizations including DOJ, FINRA, PCAOB, FCA, or state attorneys general or securities commissioners.

Successfully navigating the complex legal, factual and practical nuances of these matters requires lawyers who possess deep understanding of the securities laws, rules and regulations, the enforcement agencies, and the business considerations that necessarily guide any response to a securities enforcement matter.

With nearly 100 years of combined experience at the highest levels of the SEC, Debevoise has an unparalleled, comprehensive understanding of the SEC's enforcement and examination programs. Our deep experience gives clients a significant advantage in the face of regulatory scrutiny across a broad range of securities-related enforcement, examination, and compliance issues. Debevoise is also skilled at litigating matters if advocacy efforts fail and settlement is not possible.

Among many other issues, we have advised clients – in both pre-regulatory/internal investigations and in exam and high-stakes enforcement contexts – on all manner of private fund and other investment advisory issues, broker-dealer practices, financial reporting, accounting, insider trading, AML, FCPA, market manipulation, crypto-related issues, and cybersecurity.



Ranked in Band 1 for
Securities Regulation:
Enforcement (Nationwide)
Chambers USA, 2021

White Collar Practice
Group of the Year
Law360, 2021

Ranked as a Tier 1 firm for
Corporate Investigations
and White-Collar Criminal
Defense
The Legal 500 US, 2021

“It would be hard to find
another firm with the
capabilities of Debevoise in
SEC matters.”
Chambers USA, 2020

Former SEC Leaders at Debevoise



Mary Jo White
Chair of the SEC,
U.S. Attorney for the SDNY



Andrew J. Ceresney
Director of the SEC's
Division of Enforcement



Julie M. Riewe
Co-Chief of the Asset
Management Unit of the SEC's
Division of Enforcement



Robert B. Kaplan
Founding Co-Chief of the Asset
Management Unit of the SEC's
Division of Enforcement



Kristin Snyder
Deputy Director of the SEC's
Division of Examinations



Kara Novaco Brockmeyer
Chief of the SEC's Division of
Enforcement, FCPA Unit



Marc Ponchione
Senior Counsel of the
SEC's Division of
Investment Management



Charu A. Chandrasekhar
Chief, Retail Strategy
Task Force of the SEC's
Division of Enforcement



Stephan J. Schlegelmilch
Supervisory Trial Counsel,
Home Office Trial Unit of the
SEC's Division of Enforcement

"They have one of the absolute best SEC investigations and enforcement practices out there."
Chambers USA, 2021

White Collar/Enforcement/Investigations Firm of the Year
Benchmark Litigation, 2018, 2019, and 2020