

Our SEC Capabilities

Most publicly traded companies and registered financial and advisory firms will, at some point, become involved in inquiries by the SEC, DOJ, FCA, FINRA, PCAOB 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 a combined 60+ years of experience at the highest levels of the Securities and Exchange Commission, 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.

Among many other issues, we have advised clients – in both pre-regulatory/internal investigations and exam and high-stakes enforcement contexts – on broker-dealer practices, accounting, asset valuation, insider trading, FCPA, market manipulation, advertising, offering and financial frauds, trading policies and procedures, economic sanctions, money laundering, and whistleblower issues. We also assist clients in best positioning themselves for future exams through compliance program reviews.



Ranked in **Band 1** for Securities Regulation (Nationwide) by *Chambers USA*, 2020

Named as White Collar/ Enforcement/ Investigations **Firm of the Year** for three years running by *Benchmark Litigation*, 2018-2020

Ranked as a **first tier** firm in Corporate Investigations and White-Collar Criminal Defense by *The Legal 500 US*, 2019

“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



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

Debevoise has “an active practice advising major corporations as well as high-profile employees and senior executives in SEC investigations and related civil securities actions.”

Chambers USA, 2020

Representative Matters

A high-profile financial information content provider in an SEC investigation that resulted in a declination by the government.

A large financial services institution in an SEC investigation focused on its share class selection and revenue sharing arrangements that resulted in a declination by the government.

A pharmaceutical company in an SEC investigation of investor disclosures relating to FDA communications that resulted in a declination by the government.

A broker-dealer in an investigation relating to best execution practices and payment for order flow arrangements.

A private technology company developing virtual currency-payment solutions in private civil litigation and regulatory matters.

A leading professional services firm in a SEC investigation and related regulatory inquiries.

A major insurer in SEC and DFS investigations related to financial reporting and internal controls issues.

A clearing firm and its subsidiaries in various examination and enforcement matters before the SEC.

A high-profile financial information content provider in an SEC investigation.

A large global hedge fund in an SEC investigation related to alleged Rule 105 violations.

A global engineering firm in an SEC investigation into various issues.

A publicly-traded software company in an SEC investigation involving revenue recognition and other accounting issues.

A real estate company in an SEC investigation and other regulatory inquiries.

A technology company in an SEC investigation related to key performance indicators.

A public company engaged in Bitcoin mining operations and blockchain investments in an SEC investigation.

JPMorgan Chase in SEC and other regulatory investigations relating to the issuance of RMBS securities.

MicroStrategy in an SEC investigation relating to the company's restatement of accounting for sales of computer software.

A successful defense of a senior financial executive of General Electric in an SEC investigation arising from the company's restatements.

A former chief financial officer of an equipment leasing company in SEC and Department of Justice investigations into securities fraud.

Pacific Investment Management Company in a settlement with the SEC relating to the launch of an exchange traded fund.

KKR in its settlement with the SEC relating to the allocation of broken deal expenses between its investment funds.

A leading international private equity firm in connection with an SEC investigation.