

BUCKLEY

Securities Enforcement Practice

Buckley's Securities Enforcement practice group brings together highly regarded former prosecutors and experienced subject matter professionals who defend companies and individuals under government investigation and assist companies with capital formation and disclosure requirements as well as advise regulated entities on compliance obligations.

Our securities defense practice represents public companies, financial institutions and their officers, directors, broker-dealers, investment advisers, senior managers and employees in investigations and enforcement proceedings brought by the Securities and Exchange Commission, the Financial Industry Regulatory Authority (FINRA), Department of Justice, and state attorneys general.

Our lawyers, several of whom previously served in senior positions in the Department of Justice, are skilled in handling independent investigations for private and public companies and defending against private litigation and government investigations. We routinely advise on the establishment and implementation of robust compliance programs and have particular strengths in implementing Foreign Corrupt Practices Act and anti-money-laundering compliance procedures.

Our attorneys are particularly adept at navigating all aspects of the SEC's whistleblower program and have conducted numerous whistleblower investigations and provided advice and counseling on the recent developments related to employee protections under that program.

Our team works closely with our Broker-Dealers and Investment Advisers practice, offering the full spectrum of compliance and regulatory issues affecting their operations. This includes advising broker-dealers on issues that arise in dealing with clients, the public, investment advisers, hedge funds, mutual funds, and banks, as well as counseling investment advisers on meeting their federal and state compliance and regulatory obligations.

Along with our transactional practice group, our securities enforcement attorneys offer deep subject matter experience on capital formation, corporate transactions, and asset management. Our team is particularly skilled in structuring transactions, drafting disclosures, and identifying, addressing, and overcoming the challenges posed by regulators.

News & Blogs

- SEC charges crypto firm for failing to register and mitigate risk factors

- Agencies charge crypto platform and former executives
- SEC awards whistleblower \$9 million
- District Court orders crypto platform and its CEO to disgorge and pay penalty in SEC case
- DFPI orders crypto platform to halt operations
- Bank to pay \$1 billion to settle investors' compliance claims
- SEC's \$279 million whistleblower award is largest ever
- SEC orders crypto ATM operator to pay \$3.9 million for selling unregistered tokens
- District Court orders fintech to pay \$2.8 million to settle claims of price manipulation of crypto-assets security
- California joins multistate settlement with securities brokerage

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