



White Collar Defense and Investigations

Navigating the intricate world of white collar legal challenges demands more than conventional legal expertise—it requires a proactive approach to anticipate and counter challenges. At Seyfarth, we transcend traditional legal services, specializing in white collar defense for companies and individuals. We excel in investigations, including cross border investigations, by responding promptly to credible allegations of wrongdoing, ensuring you stay ahead of legal risks in the complex realm of white collar matters.

WHAT SETS US APART

Specialized White Collar Excellence: Preserving your reputation while addressing alleged white collar misconduct is not just a service; it's our expertise. Seyfarth specializes in navigating the complex legal landscape of white collar matters, offering tailored solutions to meet your unique legal demands and business needs.

Industry Know-How. Our White Collar Defense and Investigations Group features a distinguished team of former government prosecutors and SEC Division of Enforcement members, providing unparalleled insights for navigating white collar challenges. This specialized expertise gives our clients a decisive advantage in their white collar defense strategy.

Innovative Delivery. Seyfarth's seasoned attorneys have a proven track record in conducting internal investigations and defending clients in various white collar government and regulatory investigations. We represent companies of all sizes and individuals across diverse industries, guaranteeing an innovative and effective delivery of specialized legal services tailored specifically to white collar challenges.

Commitment to Excellence. Excellence is not just a goal; it's our commitment. Whether overseeing a white collar investigation within the Legal Department or a special committee of independent directors, Seyfarth crafts comprehensive plans targeted at the white collar conduct in question. Our recommendations for corrective actions are designed to satisfy white collar regulators while maximizing confidentiality, ensuring the highest standards of excellence in every aspect of our white collar work.

HOW WE WORK

At Seyfarth, we proactively and strategically navigate legal challenges with excellence and innovation. We are your trusted partner in minimizing liabilities and safeguarding your reputation.

- **Proactive Engagement:** Retained when potential wrongdoing is discovered, we conduct internal investigations to determine the extent and consequences of any misconduct.
- **Experienced Advocacy:** With years of experience in white collar defense, securities litigation, corporate compliance, and fraud prevention, our team provides peace of mind through adept handling of investigations.
- **Global Representation:** We represent clients in investigations, including cross-border investigations, by the Department of Justice (DOJ), the United States Securities and Exchange Commission (SEC), the United States Commodity Futures Trading Commission (CFTC), the Public Company Accounting Oversight Board (PCAOB), the States Attorneys General, and the Financial Industry Regulatory Authority (FINRA) dealing with alleged securities commodities, healthcare, government contract, or business fraud violations.
- **Advocacy Skills:** Navigating the dynamic terrain of regulatory changes is our forte. With adept advocacy skills deployed at every stage, we proactively ensure our clients are thoroughly prepared to meet and overcome the challenges that may arise in the ever-evolving regulatory landscape.
- **Dispute Resolution Expertise:** We adeptly guide clients through the complexities of settlement or trial, strategically minimizing both liability and potential reputational damage.

OUR EXPERIENCE

Our team brings extensive trial experience in federal and state courts and before administrative agencies, including the SEC. With a proven track record of negotiated settlements and a deep understanding of triable cases, we are your trusted partner in navigating legal challenges while protecting your interests.

RECENT INDIVIDUAL REPRESENTATIONS:

- **Defense of Executives in SEC Probe for Public Utilities CFOs:** Represented several executives including the Chief Financial Officer and former Chief Financial Officer of a utilities division of a public company in an SEC investigation.
- **DOJ, SEC, and FINRA Investigation for US Treasuries Trader:** Provided legal counsel for a US Treasuries trader of a major investment bank in separate investigations by DOJ, SEC, and FINRA related to allegations of spoofing and manipulative trading.
- **Criminal Proceeding for Political Consultant:** Defended a political consultant in a criminal proceeding and investigation related to an alleged bribery scheme involving former New York State Government officials and companies doing business with the State.
- **DOJ and SEC Proceedings for Former Big 4 Partner:** Represented a former partner of a Big 4 accounting firm in DOJ and SEC proceedings and a criminal trial regarding PCAOB examination disclosures.
- **High-Profile Defamation Defense:** Defended a notable individual against a defamation lawsuit involving allegations of a multimillion-dollar extortion scheme and representation of Epstein's alleged victims.

RECENT COMPANY REPRESENTATIONS:

- **Successfully represented a publicly held manufacturer and distributor of wood and wood products:** Addressed product safety and disclosure issues in DOJ and SEC investigations.
- **Defended the company and executives of a resale company:** Faced a DOJ criminal antitrust price-fixing investigation.
- **Successfully navigated an SEC investigation:** Focused on ETF trading activities for a publicly held ETF market maker firm.

- **Provided representation for an Irish member of a BIG 4 accounting firm:** Involved in a PCAOB investigation related to examination-related events.
- **Professional Services Firm Inquiry - Corporate Integrity:** Represented a national professional services firm, in a U.S. Attorney's Office investigation related to its work in a condominium project.
- **SEC Probe - National Accounting Firm:** Represented a national accounting firm, in an SEC investigation involving a former partner's defalcation of partnership interests.

RECENT INTERNAL INVESTIGATIONS:

- **Insider Trading Investigation for Hedge Fund:** Conducted an internal investigation for a multibillion-dollar hedge fund related to potential insider trading and represented the fund in the SEC investigation.
- **Kickbacks and Gratuity Investigation for ETF Sponsor:** Conducted an internal investigation for an ETF sponsor and registered investment advisor related to alleged kickbacks and gratuities paid to individuals on the firm's institutional trading desk.
- **Compliance Investigation for Private Company:** Conducted an internal investigation for a private company related to the importation of products from Vietnam, potential violations of the Enforce and Protect Act, and other compliance issues.
- **International Bank Investigation:** Represented a Canadian-based international bank in an NYAG investigation regarding its investment banking practices linked to services provided to a major subprime lender facing NYAG and CFPB complaints.

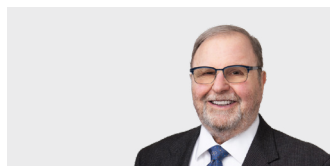
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