

Securities Enforcement and Regulation

Our Securities Enforcement and Regulation practice advises leading public companies, financial institutions, regulated entities, boards of directors, auditors and senior executives, officers and directors in all types of securities law enforcement matters. These representations often remain non-public due to successful resolution without any action against our clients. Alternatively, when regulators or law enforcement are determined to bring an action, we are highly experienced in negotiating favorable resolutions or in effectively litigating the case, as circumstances warrant.

We also routinely conduct internal and independent investigations on behalf of companies, audit committees and other board committees. Additionally, we proactively advise clients on compliance matters. For public companies this may include disclosure and internal controls design, whistleblower, clawback, insider trading, and anti-bribery policies and all manner of corporate governance concerns. For regulated entities, we often assist with designing and testing compliance policies and procedures, preparing for and responding to regulatory examinations and assessing new or differentiated products with respect to both regulatory and market risk. We closely monitor regulatory rule-making and assist our clients with preparing for and complying with these new rules.

Our team includes numerous experienced practitioners, including former senior officials at the SEC, DOJ, PCAOB and FINRA. We regularly and successfully appear before the SEC, DOJ, PCAOB, CFTC and FINRA, as well as state regulators and foreign authorities. At any given time, we are representing clients in dozens of active investigations before these agencies involving matters related to public company accounting and disclosure, securities trading and

Capability Lawyers



Carmen Lawrence
New York



Alec Koch
Washington, D.C.



Dixie L. Johnson
Washington, D.C.



Aaron W. Lipson
Atlanta



William Johnson (Bill)
New York



Andrew Michaelson
New York

Recognition

Dixie Johnson, Carmen Lawrence and Richard Walker Named Top 40 Securities Enforcement Defense Lawyers

SECURITIES DOCKET,
2020

Three-time winner of White Collar Practice Group of the Year

information barriers, auditor liability, asset management and investment advisers, broker-dealers, private funds, cybersecurity, digital assets, the FCPA, corporate governance, municipal securities and credit rating agencies.

We have the experience to guide you through the investigatory process, the credibility to advocate effectively for you before the enforcement authorities, the skill to litigate when necessary and track record of success when doing so, and the judgment to help you achieve the best possible outcome in a variety of high-stakes matters.

Cases & Deals

May 14, 2025

King & Spalding Secures Dismissal and Unprecedented Sanctions Against CFTC Enforcement Staff

June 20, 2024

King & Spalding Secures Significant Summary Judgment for Ripple

September 12, 2023

Rio Tinto Secures Victory in the Second Circuit

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Insights

CLIENT ALERT

June 12, 2025

A New Era of FCPA Enforcement

ARTICLE

May 12, 2025

Exploring CorpFin's New Perspective on Covered Stablecoins

CLIENT ALERT

April 17, 2025

Gimme Shelter: CorpFin Rolls Out New Perspective on Covered Stablecoins

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Events

SPEAKING ENGAGEMENT

April 3, 2025

Michael Galdo to Speak at the Federal Procurement Institute

SPEAKING ENGAGEMENT

March 13, 2025

Alec Koch to Speak on the SEC enforcement update webinar

SPEAKING ENGAGEMENT

January 28, 2025

Elizabeth Morgan to Speak at 2025 Securities Regulation

LAW360

Winner of Securities Practice Group of the Year

LAW360

Recognized for Securities Regulation Nationwide

U.S. NEWS BEST LAW FIRMS, 2024

Top Firm for Securities: Regulation: Enforcement Nationwide

CHAMBERS USA, 2023

"The firm has outstanding experience and competence with SEC investigations."

CHAMBERS USA, 2023

"King & Spalding is excellent in evaluating complex issues that arise in a timely manner."

CHAMBERS USA, 2023

Institute

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News

IN THE NEWS

May 23, 2025

Russell Sacks comments on the U.S. Securities and Exchange Commission exploring increasing retail access to private funds

IN THE NEWS

May 13, 2025

Craig Carpenito obtains a favorable dismissal on behalf of Murtuza Kazmi and his companies operating as My Forex Funds before a New Jersey federal court, which approved sanctions against the U.S. Commodity Futures Trading Commission after a special master's report said the agency acted in "bad faith" to gain a "tactical advantage" over the foreign exchange firm. Craig is recognized by Law.com as a Litigator of the Week for the dismissal.

IN THE NEWS

May 1, 2025

Carmen Lawrence is quoted in a profile that examines how private fund advisers prepare for their next SEC examination

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