



White Collar Defense and Investigations

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

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 US and UK 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), Serious Fraud Office (SFO), the United States Commodity Futures Trading Commission (CFTC), the Financial Conduct Authority (FCA), 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 with key enforcement agencies and a deep understanding of triable cases, we are your trusted partner in navigating legal challenges while protecting your interests.

CORPORATES AND REGULATED SECTOR

- **State-Owned Company Defense Strategy.** Advising and coordinating the defence strategy for a state-owned company and its directors facing overseas criminal charges.
- **Sovereign Wealth fund Corruption Investigation.** Advising and coordinating the global strategy and investigation into complex and sophisticated corruption and financial crime in multiple jurisdictions for a sovereign wealth fund.
- **Global Pharma Company Internal Investigation.** Conducting complex internal investigations for a global pharma company.
- **Manufacturer and Distributor Representation.** Successfully represented a publicly held manufacturer and distributor of wood and wood products. Addressed product safety and disclosure issues in DOJ and SEC investigations.
- **Hedge Fund Insider Trading Investigation.** Insider Trading Investigation for Hedge Fund: Conducted an internal investigation for a multi-billion-dollar hedge fund related to potential insider trading and represented the firm in the SEC investigation.
- **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.
- **ETF Sponsor Kickbacks 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.
- **Global Bank Market Conduct Investigation.** Advising a global bank on a high-profile, cross-border, multi-agency, market conduct investigation.
- **Private Equity Firm Internal Investigation.** Internal investigation for a private equity firm relating to an external criminal investigation.

Private Bank Regulatory Failings Representation.

Representing a private bank before their local regulator in relation to failings in their regulatory financial crime systems and controls.

INDIVIDUALS

- **Health Network CEO Bribery Prosecution Defense.** Successfully represented the CEO of a health network in a bribery prosecution brought by the DOJ.
- **Political Consultant Criminal Proceeding Defense.** 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.
- **US Treasuries Trader DOJ and SEC Investigation.** Provided legal counsel for a US Treasuries trader in a DOJ and SEC investigation related to allegations of spoofing and manipulative trading.
- **Former Big 4 Partner DOJ and SEC Proceedings.** Represented a former partner of a Big 4 accounting firm in DOJ and SEC proceedings and a criminal trial regarding PCAOB examination disclosures.
- **Reinsurance Firm Senior Manager Bribery Investigation Dismissal.** Securing dismissal of DOJ/ SFO bribery investigation of a senior manager of a reinsurance firm.
- **C-suite Directors Bribery Investigation Dismissal.** Securing dismissal of SFO bribery investigation for two C-suite directors.
- **Manufacturing Company Senior Director Bribery Acquittals.** Securing acquittals of SFO bribery charges for a senior director of a manufacturing company.
- **FCA Investigation Dismissal for C-suite Director.** Securing the dismissal of an FCA investigation for a C-suite director in an FCA and CFTC investigation.

KEY CONTACTS



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