

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

June 20, 2024

King & Spalding Secures Significant Summary Judgment for Ripple

September 12, 2023

Rio Tinto Secures Victory in the Second Circuit

[VIEW ALL](#)

Insights

CLIENT ALERT

April 17, 2025

Gimme Shelter: CorpFin Rolls Out New Perspective on Covered Stablecoins

ARTICLE

April 8, 2025

Shifting Crypto and Cyber Priorities In SEC Enforcement

CLIENT ALERT

March 28, 2025

New Marketing Rule FAQs Facilitate Compliance on Net Performance

[VIEW ALL](#)

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 Institute

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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

News

IN THE NEWS

April 22, 2025

Aaron Lipson explains why the SEC is being thoughtful and potentially creative in how it responds to more limitations on its administrative forum post-Jarkesy

PRESS RELEASE

March 11, 2025

Former Google Regulatory and Litigation Counsel Benjamin Softness Joins King & Spalding in San Francisco

IN THE NEWS

March 11, 2025

Former Google Regulatory and Litigation Counsel Benjamin Softness joins the firm's Business Litigation practice group in San Francisco

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