

SEC Enforcement

Practices and Industries

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There is no time to spare when the SEC's Division of Enforcement turns its attention your way. Your company needs experienced counsel to help navigate the SEC investigatory process. Our clients can rest assured: Haynes and Boone's lawyers have a broad base of experience in defending SEC enforcement actions and investigations ranging from inquiries into accounting practices or disclosure concerns, to allegations of insider trading, improper valuation, and related party transactions. We regularly represent securities firms, including broker-dealers, investment advisers, investment funds and private equity firms in investigations of trading misconduct, compliance failures, supervisor concerns and a range of rule violations. Our defense experience is complemented by the "insider" perspective offered by a number of our partners, who are veterans of key positions at the SEC and other governmental entities. Because of our unparalleled experience, Haynes and Boone has had the opportunity to represent public and private companies, financial service firms, and senior executives and board members in some of the most significant SEC investigations in recent years.

Our goal is to have investigations close without an enforcement action filed. For this reason, a number of our most significant representations have received no publicity. However, if litigation should arise, we combine our trial experience and unparalleled resources to expertly handle these cases. Our cross-discipline approach provides clients with access to securities, antitrust, white collar defense, and other highly specialized attorneys. If the investigations are not closed, we spare no effort to obtain a favorable result for our clients.