

Financial Services Investigations and Enforcement

Practices and Industries

PRIMARY CONTACTS

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The Haynes Boone Financial Services Investigations and Enforcement practice provides comprehensive legal counsel to financial institutions, corporations, and individuals facing regulatory scrutiny, enforcement actions, and complex financial investigations. Drawing on decades of experience at the highest levels of federal and state government enforcement agencies, we offer strategic guidance through the intersection of criminal, civil, and regulatory matters.

Our seasoned attorneys provide comprehensive legal services to address the challenges businesses and individuals face, including:

Regulatory Compliance and Enforcement. We counsel clients on compliance with federal and state banking regulations, including Anti-Money Laundering (AML), Bank Secrecy Act (BSA), and sanctions requirements. Our team assists financial institutions in navigating examinations and enforcement proceedings before regulatory agencies including the Federal Reserve, FDIC, OCC, CFPB, CFTC, SEC, and FinCEN.

Financial Crimes Defense. We handle complex financial crimes matters including money laundering, tax investigations, fraud, sanctions evasion, and asset forfeiture cases. We represent clients in parallel proceedings involving multiple agencies and jurisdictions, coordinating defense strategies across criminal, civil, and regulatory fronts.

Digital Assets and Cryptocurrency. We provide guidance on the evolving regulatory landscape for digital assets and cryptocurrency businesses, including licensing requirements and compliance protocols. Our team assists clients with regulatory inquiries and investigations involving virtual currencies and blockchain technologies.

Cybersecurity and Data Protection. We counsel financial services clients on cybersecurity compliance, incident response, and regulatory reporting requirements. Our practice includes defense of enforcement actions related to data breaches and cybersecurity failures.

Internal Investigations. We conduct comprehensive internal investigations for financial institutions and corporations, including matters involving potential violations of financial crimes laws, regulatory requirements, and corporate governance standards. Our investigations are designed to identify issues, assess risk, and develop remediation strategies.

Cross-Border Financial Investigations. Our team handles complex international financial investigations involving coordination with foreign regulators and law enforcement agencies. We

assist clients with cross-border regulatory matters, mutual legal assistance requests, and international asset recovery.

Industry Experience

Our attorneys have extensive experience working with:

- Federal and state-chartered banks
- Credit unions and financial services companies
- Insurance companies
- Digital assets businesses and cryptocurrency exchanges
- Investment banks and broker-dealers
- Credit rating agencies
- Foreign banking institutions and their U.S. operations

Representative Matters

While maintaining client confidentiality, our team has experience with matters involving:

- Multi-billion dollar enforcement settlements
- Complex international money laundering investigations
- Bank regulatory examinations and enforcement actions
- Digital assets licensing and compliance matters
- Cybercrime and financial fraud investigations
- Asset forfeiture and recovery proceedings
- Cross-border financial investigations

Our approach combines deep regulatory knowledge with practical enforcement experience to provide clients with strategic, results-oriented counsel in high-stakes financial services matters.