

SEC Enforcement

Practices and Industries

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When the SEC's Division of Enforcement turns its attention your way, companies and individuals need experienced counsel to navigate the SEC investigatory process and muster the facts and strategy necessary to position them for success. Haynes Boone's lawyers have a broad base of experience in defending SEC enforcement actions and investigations. From inquiries into accounting practices and disclosure concerns to allegations of insider trading, improper valuation, and related party transactions, Haynes Boone's SEC Enforcement group regularly represents public companies and their officers, directors and auditors, investment advisers to private funds, and retail clients, broker-dealers and other individuals in investigations originating from SEC offices nationwide.

Our defense experience and comprehensive approach to investigations defense has been shaped by the insider perspective offered by a number of our partners, including two former SEC Regional Directors and former federal and state prosecutors. Our extensive experience has given Haynes Boone the opportunity to represent public and private companies, financial services firms, and senior executives and board members in some of the most significant SEC investigations in recent years.

The goal in every representation is to have investigations close without an enforcement action filed. For this reason, many of our most significant representations have received no publicity. However, when matters do proceed to litigation, we stand ready to combine our deep experience litigating against government entities to achieve optimal outcomes. Our cross-discipline approach provides clients with access to securities class actions, antitrust, white-collar defense, and other highly-trained professionals as needed.