

Selected Securities Enforcement Representations

BuckleySandler lawyers represent public companies, financial services firms, and audit firms as well as their officers and directors, senior managers, partners, and employees in investigations and enforcement proceedings brought by the Securities and Exchange Commission (SEC) and other governmental agencies, including the Department of Justice and state attorneys general, as well as the Financial Industry Regulatory Authority (FINRA) and other self-regulating organizations.

The Firm's attorney's have represented clients in the following representative matters:

A major Wall Street investment bank in a joint SEC and Department of Justice investigation into potential bid-rigging and violations of the antifraud provisions of the securities laws in the municipal bond reinvestment arena. Collected, reviewed, and produced millions of pages of documents and conducted an in-depth internal investigation into the government's allegations.

The CEO of a major insurance company, as well as his family members and financial advisor, in a multi-year SEC insider trading investigation.

The president of a major state university (70,000+ students) who, in the wake of 9/11, served a term as the head of an investment firm devastated by the terrorist attacks. The SEC ultimately charged the investment firm and several of its executives for market timing related violations, but opted not to take action against the firm's interim leader.

The former head of the regulatory and enforcement group at one of the nation's largest and most prominent stock exchanges during a SEC investigation into whether the exchange – and its regulatory and enforcement arm in particular – had failed to surveil the activities of certain traders.

The controller of a division of an international medical supply firm during a SEC investigation into a pervasive accounting scheme at the company.

A major accounting firm and certain employees in connection with an investigation by the SEC's Office of General Counsel into potential misconduct, including allegations that attorneys intentionally altered a document submitted as part of a Division of Enforcement investigation.

An internal investigation into a company's stock options dating practices.

The founder of a hedge fund in a SEC investigation into whether she had failed to supervise her partner who was the fund's primary investment decision-maker.

A major financial services firm during a SEC investigation into potential insider trading by one of the firm's proprietary traders and the failure of the firm's control group to oversee firm trading and operations.

The CEO of an international communications firm specializing in VoIP technology in an options backdating investigation.

The Executive Vice President and Manager of several multi-billion dollar hedge funds in an SEC market timing investigation.

The general counsel of a state banking institution in connection with a SEC investigation into market timing.

Several hedge funds and hedge fund traders in connection with multiple SEC investigations relating to gifts and gratuities provided by brokers to hedge fund employees.

Officer of a publicly-traded telecom company in a SEC financial fraud investigation.

Several major banks in SEC investigations relating to loan loss reserves.

Regional brokerage firm and asset manager in SEC investigations and FINRA examinations involving sales practices, offering disclosures, markups, and hedge fund operations.

Registered representatives of national brokerage firm in New York Stock Exchange investigation and disciplinary proceeding involving insider trading.

CFO of NASDAQ-traded surety bond company in SEC investigation and administrative proceeding involving financial fraud charges.

Broker-dealer affiliate of insurance company in SEC investigation and administrative proceeding involving “selling away” charges.

Representation of NASDAQ/NSM traded communications company in NASD inquiry involving insider trading and corporate disclosures.

Representation of CEO and COO of NASDAQ/NSM traded communications company in SEC insider trading investigation.

Former university athletic coach and energy-related businessmen in SEC injunctive and disgorgement action involving insider trading relating to merger of two oil companies.

Senior official of NYSE-traded national telecommunications company in SEC and U.S. Attorney investigations involving financial fraud allegations.

Director of NASDAQ-traded managed health care company in SEC investigation involving false financial reports and misappropriation.

CCO of broker-dealer affiliate of insurance company in SEC investigation and subsequent administrative proceeding involving failure to supervise.

President and director of NASDAQ-traded pharmaceutical company in SEC investigation involving failure to file periodic reports and securities fraud.

Technology company in NASD delisting proceeding.

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Nevada gaming establishment in SEC investigation and subsequent SEC enforcement action in federal court involving false periodic reports.

Newspaper conglomerate in SEC investigation involving allegations of securities fraud and filing of false ownership reports in connection with takeover of publicly-traded gold mining company.

Petition for reinstatement of former CFO of publicly-traded company to appear and practice before the SEC as an accountant.

CFO of cattle-raising business in CFTC investigation involving allegation of manipulation of the cattle futures market.

Commodities brokerage firm in CFTC investigation involving improper sales practices and manipulation of potato futures market.