

Securities Enforcement Defense

Amundsen Davis represents individuals and entities facing high-stakes investigations and enforcement actions brought by the U.S. Securities and Exchange Commission (SEC), the Financial Industry Regulatory Authority (FINRA), and state securities regulators across the country. We understand the severe legal, financial, and reputational consequences at risk and are equipped to defend and protect your business, career, and public standing.

We take a collaborative and interdisciplinary approach to advise a wide range of clients, including:

- Public companies
- Corporate officers and directors
- Private individuals
- Registered representatives
- Investment advisers
- Broker-dealers
- Hedge funds
- Investment banks
- Commercial banks and lenders

We are efficient in resolving securities enforcement matters—often achieving favorable outcomes before our clients face formal charges or public sanctions.

SEC Enforcement Defense

Our attorneys work in partnership with individuals and entities facing enforcement actions brought by the SEC. Our capabilities include all aspects of SEC investigations and enforcement actions, including:

- Evaluating the scope of alleged violations
- Counseling on compliance and risk mitigation strategies
- Responding to subpoenas and information requests
- Preparing clients for on-the-record testimony
- Assessing and responding to Wells Notices
- Negotiating settlements and reduced penalties

PROFESSIONALS

Eric M. Fogel
Partner

Securities Enforcement Defense

- Providing representation for depositions

Amundsen Davis's team of experienced attorneys has successfully defended against a broad range of complex, serious, and often sensitive allegations, such as:

- Insider trading
- Securities fraud
- Accounting firm malpractice for alleged securities law violations
- Law firm malpractice for alleged securities law violations
- Market manipulation
- Material misstatements or omissions in public filings
- Unregistered securities offerings
- Violations of anti-fraud regulations
- Cryptocurrency violations
- Alleged unlawful token plans
- Ponzi schemes

FINRA Investigations & Defense

Our attorneys work with individual registered representatives, broker-dealers, and supervisory personnel as they navigate FINRA investigations of potential rule violations. We have successfully represented clients in matters involving:

- Unauthorized trading
- Allegations of malpractice
- Recordkeeping and reporting deficiencies
- Failure to supervise
- Breach of fiduciary duty
- Front-running

Clients can rest assured that they will be guided through every step of the process, including informal interviews, off-the-record (OTR) testimony, and settlement negotiations. Our attorneys can also skillfully defend clients in disciplinary proceedings and appeals.

State Securities Regulators

State securities regulators play an increasingly active role in enforcement, often coordinating with federal agencies or initiating their own actions. Our attorneys have successfully represented clients in state-level investigations and proceedings and work to ensure state inquiries do not escalate to broader exposure.

Why Amundsen Davis?

- Highly experienced counsel with proven track record in high-stakes defense
- Deep regulatory insight
- Efficient, strategic problem-solving
- Trusted advisors to companies and individuals across the U.S.

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