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Financial Services

Leading financial institutions and financial service companies often turn to Steptoe & Johnson LLP for experienced corporate, regulatory, intellectual property, and litigation counsel.

We represent a diverse group of national and regional securities firms, investment banks, hedge funds, private equity funds, pension funds, mutual funds and investment advisors, as well as domestic and international commercial banks, money transmitters, credit card companies, cross-border finance agencies, multilateral financial institutions, thrift institutions, credit unions, banking trade associations, bank holding companies, and their officers and directors.

Our work for these clients includes transactional matters; counseling in regulatory, enforcement, and legislative issues; creditors' rights and litigation; intellectual property counseling; e-commerce issues; tax; and ERISA. We handle matters before the Securities and Exchange Commission, the IRS, Department of Labor, the NASD and NYSE. We have handled high-profile money laundering investigations, legislative inquiries, and civil and criminal proceedings, and we have counseled clients on AML compliance.

- Securities broker dealers in securities fraud, breach of fiduciary duty, derivative suits, internal investigations, class actions
- Investment banks: Bank Secrecy Act, Patriot Act, Foreign Corrupt Practices Act (FCPA), money laundering; bank regulatory and enforcement proceedings, and bond holder class actions
- Investment advisors in litigation arising from tax shelter advice and transactions; SEC, NYSE, and NASD investigations and proceedings; and insider trading litigation
- Hedge funds in litigation and arbitration of securities and common-law claims
- ERISA plan fiduciaries
- Professional services firms in stockholder lawsuits, breach of fiduciary duty, bankruptcy trustee suits; class action securities and professional malpractice litigation; conflicts of interest; RICO violations; legal ethics