Steptoe’s securities enforcement lawyers represent corporate and individual clients in sensitive and complex securities matters. We serve as regulatory or special counsel to leading public companies and financial institutions, and their officers, directors, board committees, and full boards across the country and overseas. By integrating the judgments of our litigators with those of our corporate and regulatory counselors, we regularly help clients avoid undue regulatory scrutiny, litigation, and other disputes – or we will have helped them develop the best and most protective record if an investigation or action follows.

Steptoe advises corporate and individual clients in connection with SEC enforcement matters and the many collateral risks they pose. We represent clients for the purposes of agency rulemaking initiatives, inspections, enforcement inquiries and investigations, administrative proceedings, and federal court actions seeking injunctive and other relief – the full spectrum of matters before or involving the Commission. The firm also represents clients in related federal and state grand jury investigations and criminal proceedings, as well as in matters before CFTC and FINRA and other self-regulatory organizations. We bring to bear insights borne of extensive government service and regular appearances before federal and state regulators and prosecutors. Several of the firm’s partners are former prosecutors with experience in securities matters. Others have served with the Securities and Exchange Commission, including a former Associate Director of its Division of Enforcement.

Another core segment of this practice involves assisting public companies, boards of directors, board committees, and others in conducting internal investigations, and helping clients address corporate governance matters and all forms of corporate crises. We assist clients in developing preventive and remedial measures before and after securities law issues arise. We also help clients establish compliance programs and other measures designed to detect and prevent conduct that might lead to government inquiry or enforcement action.
News & Publications

PRESS RELEASES
Former FINRA Associate Director Erica Gerson Returns to Steptoe
December 1, 2020

MEDIA MENTIONS
Federal News Network Interviews Stacie Hartman on SEC’s Proposed Rule Changes
November 2, 2020

PRESS RELEASES
Securities Docket Names Philip Khinda to ‘Enforcement 40’ List for Third Time
October 29, 2020

MEDIA MENTIONS
Wall Street Journal Quotes Stacie Hartman on Anti-Spoofing Compliance Considerations
October 14, 2020

PRESS RELEASES
New York Law Journal Names Charles Michael a Trailblazer in New York
September 28, 2020

PRESS RELEASES
Daily Journal Names Crowther, Edelstein to ‘Top 100 Lawyers’ List
September 17, 2020

PRESS RELEASES
Crain’s Names Stacie Hartman to ‘Notable Women in Law’ List
September 9, 2020

CLIENT ALERTS
Securities Enforcement Activity in the COVID-19 Era: A Backstop to Private Securities Litigation
May 28, 2020
By: Michelle L. Levin, Ashwin J. Ram, Alexandrea Rahill

PRESS RELEASES
Washington, DC Super Lawyers Recognizes 62 Steptoe Attorneys
April 17, 2020

CLIENT ALERTS
Reducing Risk and Uncertainty in Shareholder Disputes with Exclusive Forum Clauses
March 27, 2020
By: Nathaniel Kritzer, Michael Dockterman
Events

WEBINARS
Investigations & Enforcement Webinar Series
Quarterly Investigations Update
October 27, 2020
Speakers: James D. Barnette, Christopher R. Conte, Paul R. Hurst, Patrick F. Linehan, Lucinda A. Low, Michael Campion Miller, Brittany Prelogar, Wendy Wysong

WEBINARS
Navigating the Road Ahead: Congressional and DOJ Investigations into Waste and Abuse Related to COVID-19 Relief Funds
September 14, 2020

WEBINARS
Investigations & Enforcement Quarterly Webinar Series
Midyear Update
July 16, 2020
Speakers: James D. Barnette, Christopher R. Conte, Paul R. Hurst, Patrick F. Linehan, Lucinda A. Low, Michael Campion Miller, Brittany Prelogar, Wendy Wysong

WEBINARS
FCPA Year in Review
February 27, 2020
Speakers: Lucinda A. Low, Brittany Prelogar
Kokesh’s Open Question Resolved: SCOTUS Upholds But Limits Equitable Disgorgement in SEC Civil Actions
June 23, 2020
By: Lucinda A. Low, Christopher R. Conte, Brittany Prelogar, Patrick F. Linehan, Jessica Piquet Megaw

The Asia Pacific Top Ten FCPA Enforcement Actions of 2019
February 3, 2020
By: Wendy Wysong, Richard J. Battaglia, Susan Munro, Ali Bumey, Hena Schommer, Nicholas Turner, Anthony Pan

FCPA/Anti-Corruption Developments: 2019 Year in Review
January 21, 2020
By: Lucinda A. Low, Brittany Prelogar, Brigida Benitez, Wendy Wysong, Zoe Osborne, Steven J. Barber, Alexandra Melia, Susan Munro, Richard J. Battaglia, Ali Bumey, Fernando Q. Merino, Rachel B. Peck, Nicholas Turner, Hena Schommer, Alexandra Baj, Jessica Piquet Megaw, Elizabeth Arkell, Jefferson Klocke, Yasmin Almeida, Yas Froemel, Veronica Ganzitli, Chris Han, Jessica D. Maneval, Lia Metrevel, Anthony Pan, Alexandria Rahill, Troy Shephard, A. Cherie Tremaine, Stefan Tsakanaklis, Melhui (May) Xiao, Lin Yang, Bo Yue

House Agriculture Committee Publishes Bipartisan Discussion Draft to Reauthorize the Commodity Futures Trading Commission
October 28, 2019
By: Micah S. Green, Stacie R. Hartman, Charles R. Mills, Michael V. Dunn, Richard Shilts, Josh Oppenheimer, Patrick Northup (Legislative Assistant)

DOJ Revamps Corporate Compliance Program Guidance, Broadens Application
May 9, 2019
By: Lucinda A. Low, Brittany Prelogar, Patrick F. Linehan, Rachel B. Peck, Jessica Piquet Megaw

FCPA/Anti-Corruption Developments: 2018 Year in Review
February 28, 2019
By: Lucinda A. Low, Brittany Prelogar, Brigida Benitez, William L. Drake, Alexandra Melia, Fernando Q. Merino, Simon Hirsbrunner, Alexandra Baj, Rachel B. Peck, Jessica Piquet Megaw, Evan T. Abrams, Elizabeth Arkell, Katherine M. Dubyak, Chris Han, Jessica D. Maneval, A. Cherie Tremaine, Lin Yang, Bo Yue, Yasmin Almeida, Alexandria Rahill, Troy Shephard

Long-Awaited Decision Issued on FCPA’s Reach Over Non-Resident Foreign Nationals
September 5, 2018
By: Lucinda A. Low, Brittany Prelogar

FCPA/Anti-Corruption Developments: 2017 Year in Review & 2018 Q1 Preview
April 12, 2018
By: Lucinda A. Low, Brittany Prelogar, Brigida Benitez, William L. Drake, Simon Hirsbrunner, Alexandra Baj, Rachel B. Peck, Jessica Piquet Megaw, Evan T. Abrams, Elizabeth Arkell, Galen Kast, Peter Jeydel, A. Cherie Tremaine, Lin Yang, Bo Yue