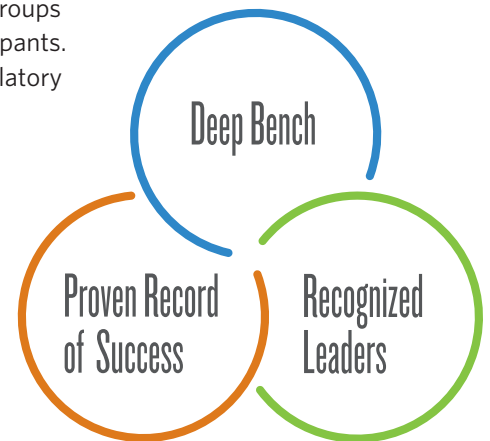


Securities Enforcement

Offering guidance on a wide range of criminal, regulatory and civil matters

As one of the leading law firms serving the financial services industry, SRZ provides regulatory and compliance advice to broker-dealers, private funds and other financial services firms. The lawyers in our Broker-Dealer Regulatory & Enforcement and Securities Enforcement Groups are well-known for representing many of the industry's most significant market participants. We assist banks and hedge funds in their dealings with broker-dealers and act as regulatory counsel in connection with acquisitions involving broker-dealers. Our enforcement attorneys regularly represent broker-dealers, hedge funds and other market participants in a broad array of proceedings brought by the U.S. Securities and Exchange Commission, the U.S. Department of Justice, the Financial Industry Regulatory Authority, the Commodity Futures Trading Commission, state securities regulators and attorneys general and other government agencies. These proceedings include informal inquiries, formal investigations, grand jury investigations, administrative proceedings and trials, among others.



Deep Bench

Former federal prosecutors from U.S. Attorneys' offices

State prosecutors • Chiefs of Appeals Unit • Chiefs of Major Crimes Unit

Former senior members of the U.S. Securities and Exchange Commission's Division of Enforcement

Proven Record of Success

- Represent large issuer of an initial coin offering (ICO) based on blockchain technology in an investigation by the SEC
- Represent global investment firm in FINRA and SEC investigations regarding anti-money laundering matters
- Represent global financial services firm in an SEC investigation concerning American depository receipts pre-release transactions
- Represent numerous broker-dealers and other market participants in SEC, FINRA and NYAG investigations regarding spoofing and layering
- Internal investigation of global financial services firm regarding potential FCPA violations
- Represent interdealer broker in FINRA arbitration related to misappropriation of trade secrets
- Represent numerous broker-dealers in connection with SEC and FINRA investigations regarding net trading, best execution and disclosure issues
- Represent global financial services firms in connection with numerous trade-reporting inquiries

Recognized Leaders

SRZ's Broker-Dealer and Securities Enforcement lawyers are ranked by the following industry publications

- *Chambers USA*
- *Benchmark Litigation: The Definitive Guide to America's Leading Litigation Firms and Attorneys*
- *The Legal 500 US*
- *Super Lawyers*
- *U.S. News – Best Lawyers* in its "Best Law Firms" listings for securities litigation and white collar criminal defense
- *Washingtonian* magazine's "Top Lawyers" list in securities and white collar criminal defense