



Debevoise
& Plimpton

Banking Enforcement and Litigation

Contents

2	Our Expertise
4	Enforcement Defense
6	Litigation Defense
10	AML/Sanctions Compliance & Enforcement
14	Regulatory & Compliance
15	Cybersecurity Defense
17	Our Team

Banking Practice Group of the Year
—*Law360 2017*

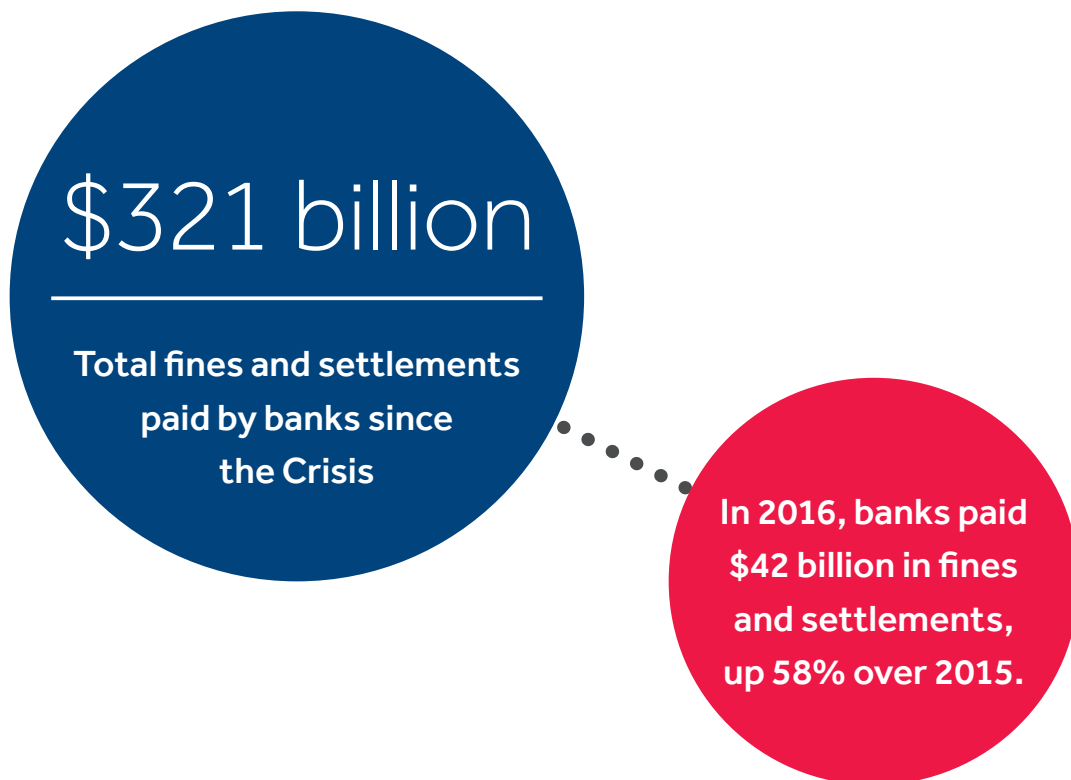
Recognized as a Leading Firm in White Collar Litigation
—*Benchmark Litigation 2017*

A Regulatory Environment in Flux

The banking industry has experienced unprecedented enforcement and litigation activity in recent years. The largest banks in the world have paid fines and settlements totaling more than \$321 billion since the financial crisis. Regional and smaller banks have been similarly strained and paralyzed. In many cases, the fines far exceeded any demonstrable injury.

New standardized operational risk rules will raise the capital charges associated with these loss events for decades after they occur, and associated and unrelated private litigation may push total liability even higher. Significant reputational risk for banking institutions continues at elevated levels.

Recent history has demonstrated the need to prepare for and respond to enforcement and private litigation while accounting for new and evolving concerns—including cybersecurity and regulatory changes. In this environment, banks require seamlessly coordinated counsel with expertise to help manage these risks. The Debevoise & Plimpton litigation, enforcement, cybersecurity and regulatory teams include experienced former senior government prosecutors, former in-house bank lawyers and recognized industry leaders, to assist banking institutions in successfully defending themselves in this rapidly evolving environment.





Our litigation, enforcement, cybersecurity and regulatory teams assist banking institutions in successfully defending themselves in this rapidly evolving environment.

**Rated a Band 1 firm in White Collar Crime &
Government Investigations
—*Chambers USA 2017***

Enforcement Defense

The financial crisis dramatically highlighted the banking sector's systemic importance to the global and national economies. Governments and regulators have since greatly increased their focus on the activities of the financial sector. As a result, we live in a dramatically altered regulatory environment as well as a more aggressive enforcement environment. This picture has been further complicated by a fundamental shift in geopolitics, changes in consumer financial habits and developments in technological risk.

Financial institutions face greater risks and higher levels of scrutiny than ever before, resulting in an exponential increase in regulatory investigations and enforcement actions. Facing these challenges requires sector-specific expertise from lawyers with experience working with key regulators and enforcement agencies. Our White Collar and Regulatory Defense Groups provide vanguard advice to banks and other financial institutions.

The team has advised clients on high-profile enforcement actions triggered by all the key regulators and enforcement agencies, including the:

- Commodity Futures Trading Commission (CFTC)
- Consumer Financial Protection Bureau (CFPB)
- New York Department of Financial Services (NYDFS)
- Department of Justice (DOJ)
- Federal Deposit Insurance Corporation (FDIC)
- Federal Reserve Board (FRB)
- Federal Trade Commission (FTC)
- Financial Conduct Authority (FCA)
- Financial Industry Regulatory Authority (FINRA)
- Office of the Comptroller of the Currency (OCC)
- State Attorneys General Offices (AG)
- U.S. Department of the Treasury's Financial Stability Oversight Council (FSOC)
- U.S. Securities and Exchange Commission (SEC)

Debevoise is one of the only law firms that has top-rated investigations lawyers resident in the financial and political centers around the globe, giving us unique insight into the post-financial crisis regulatory environment.

Examples of Enforcement Defense Matters

- **Habib Bank Limited** in NYDFS settlement related to its AML program.
- Several multinational banks in **federal investigations** related to the Puerto Rican debt crisis.
- Multinational bank in multiple investigations relating to its auto lending business and securitizations, one of which set a new industry standard for dealer compensation practices consistent with fair lending.
- Major investment bank in an international investigation relating to mispricing of subprime securities and representation in follow-up government investigations.
- Senior executive in charge of providing financial services in an investigation into the valuation of swap transactions with uncommitted credit obligations.
- Multinational bank in the **Special Counsel's investigation**.
- Large multinational bank, as well as a former employee from a separate large international bank, in a significant and highly confidential **SEC investigation** of the underwriting of debt obligations.
- JPMorgan Chase & Co. in **federal and state investigations** of mortgage servicing, foreclosure and origination-related issues, including relating to the \$25 billion settlement with the **DOJ, State Attorneys General and other regulatory investigations** relating to the issuance of RMBS securities.
- Senior bank executive in a **DOJ investigation** into the bank's sale and marketing of loans that were packaged into residential mortgage-backed securities.
- Swiss bank executive in **DOJ investigations**.
- Multinational financial institution in a **DOJ investigation** concerning potential violation of U.S. tax laws involving bank accounts held by U.S. taxpayers in Hong Kong and their related parties and associated companies and any other investigations relating to the same subject in other jurisdictions.
- Senior executive at an international bank, one of a few large financial institutions that have not settled, in a **DOJ investigation** into the sale and marketing of RMBS.
- Santander Consumer USA in an **investigation by the Delaware and Massachusetts Attorneys General** offices into its auto lending and dealer management practices.
- JPMorgan Chase in multiple mortgage-related False Claims Act cases, in a series of class actions challenging the use by mortgage servicers of the Mortgage Electronic Recording System (MERS) and in civil actions by **state Attorneys General** relating to mortgage-foreclosure practices.
- Nine existing and former employees of a major U.S. investment bank in **U.S. and UK criminal and regulatory investigations** into allegations of manipulation of the spot foreign currency market.
- Individuals in a **NYDFS** and multinational bank's internal investigations related to foreign exchange (FX) trading.

Litigation Defense

Banks and financial institutions continue to address legacy litigation arising from the global financial crisis and related regulatory enforcement actions.

Banks face a “new normal” of high levels of claims brought by more emboldened counterparties and clients. These high-value disputes are complex and often traverse a number of jurisdictions. The Debevoise team is structured specifically to help banks address these challenges and to coordinate litigation strategies with any parallel or related enforcement actions. Clients trust us due to our vast experience within the financial services industry and our deep understanding of the complex financial products and services which often give rise to litigation.

Key types of work undertaken by the team include:

- Mis-selling claims (in particular, disputes concerning complex financial products)
- Claims arising from market misconduct/abuse
- Disputes relating to securitizations and financial products
- Contentious securities
- Financing transactions
- Disputes relating to collateral structures and margin issues
- Fraud and asset tracing matters
- Noteholder/bond disputes
- OTC derivatives disputes (e.g., ISDA)
- GMRA and other Repo disputes
- Capital markets matters (including shareholder claims in relation to representations in offer documents)
- Debt and security enforcement matters (particularly in foreign jurisdictions)
- Insolvency and restructuring-related disputes
- Negligence claims involving wealth and asset managers
- General contractual disputes
- Disputes involving funds (in particular, sovereign wealth funds)

Our goal is always to achieve the best possible commercial outcome for our clients as quickly as we can in the most cost-efficient way possible.

It is vital to develop an effective strategy from the outset. Sometimes, matters necessarily see trial. Often, they need not. Although the firm has an excellent record of securing victories for our clients in Court, we also have an excellent record of protecting our clients’ interests and reputations by securing settlements on the best possible terms through negotiation.



Rated a Tier 1 firm in White Collar Criminal Defense
— *The Legal 500 U.S. 2017*

Our prestigious practice has:

- Two former Attorney Generals of the United States and United Kingdom
- 16 former Assistant U.S. Attorneys/ Department of Justice Attorneys
- A former leading federal judge
- The immediate Past Chair of the SEC and the Director of Enforcement
- A senior lawyer from the Federal Reserve
- A former senior policy advisor to the Treasury Department's Financial Stability Oversight Council (FSOC) office

Our enforcement team is comprised of individuals with years of government and in-house experience, as well as experienced practitioners who have handled all aspects of enforcement actions, including:

- Navigating enforcement proceedings by anticipating and understanding the government's priorities
- Communicating with regulators and law enforcement
- Challenging them when necessary
- Successfully resolving matters and proceedings with meaningful organizational risk

We are highly respected in the regulatory defense space, demonstrating considerable strength and tenacity in litigation. We ardently advocate on behalf of our clients and against the government to obtain the best possible outcome.

"Terrific - very, very smart, clearly cover a range of expertise which they bring to bear in a very logical, rational, creative way."

—Chambers USA 2017



Winner of the "Litigation Team of the Year"
—*Transatlantic Legal Awards 2017*





Mary Jo White



Andrew J. Ceresney



Julie M. Riewe



David A. O'Neil

Mary Jo White, Debevoise's Senior Chair, former Chair of the SEC

Andrew J. Ceresney, co-chair of the firm's Litigation Department, former Director of Enforcement at the SEC

Julie M. Riewe, a partner in the Litigation Department, served as Co-Chief of the Asset Management Unit of the U.S. Securities and Exchange Commission's Division of Enforcement

David A. O'Neil, a member of the Litigation Department, served for eight years in prominent positions within the DOJ and is the former Deputy Assistant Attorney General for the Fraud Section.



Michael B. Mukasey



Matthew L. Biben



Helen V. Cantwell

Michael B. Mukasey, counsel to the firm, recently served as Attorney General of the United States, the nation's chief law enforcement officer, and served as Judge of the U.S. District Court for the Southern District of New York, including serving as the Chief Judge

Matthew L. Biben, partner and co-chair of the firm's Banking Group, was formerly an Executive Vice President of JPMorgan Chase as well as The Bank of New York Mellon and also served in the U.S. Attorney's Office for the Southern District of New York where he was an Assistant U.S. Attorney in the Criminal Division

Helen V. Cantwell, partner in the Litigation Department, is a former Assistant U.S. Attorney for the Southern District of New York where she was a member of the Securities and Commodities Fraud Task Force

Mr. Biben and **Ms. Cantwell** also served as Assistant District Attorney's in Manhattan.

AML/Sanctions Compliance & Enforcement

Debevoise's market-leading practice provides expert and practical advice on anti-money laundering and economic sanctions matters to a wide range of institutions, including:

- Banks—global and domestic
- Broker-dealers
- Asset managers
- Consumer credit and nonbank financial institutions
- Leading industry associations

We advise on the following:

- Anti-bribery and anti-corruption
- Government investigations and enforcement action
- Conducting internal investigations
- Competition investigations
- White collar criminal defense and regulatory representation of individuals
- Compliance advice, reviews and due diligence
- Sanctions advice

Our compliance team draws upon extensive private and government experience to work with clients in all types of AML and sanctions compliance, including:

- Reviewing, revising and implementing BSA/AML and OFAC-related compliance policies and procedures addressing both U.S. and foreign requirements
- Performing compliance assessments including structuring of compliance in multinational organizations
- Providing BSA/AML and sanctions training
- Leading internal investigations regarding potential BSA/AML and OFAC-related and related compliance issues



"A litigation powerhouse with a deep bench of experienced trial lawyers and regulatory experts."

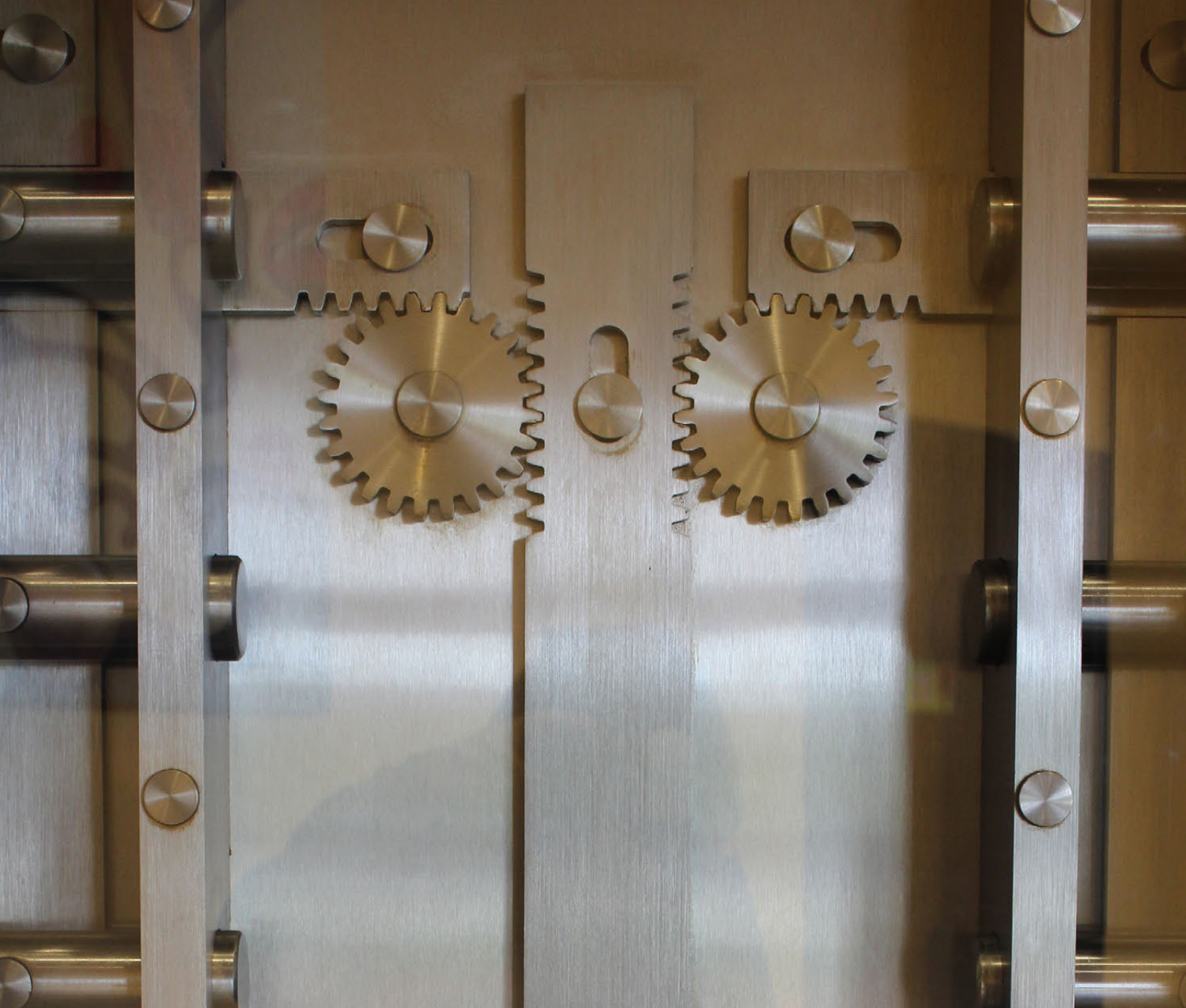
—*Chambers USA 2017*

Examples of AML/Sanctions Compliance & Enforcement Matters

- Large financial institution in the course of an investigation conducted by the **DOJ** on money laundering charges and violation of the U.S. Bank Secrecy Act.
- Foreign bank in responding to a subpoena (which seeks information related to the bank's clients and accounts connected to Mossack Fonseca & Co., the Panamanian law firm at the center of the International Consortium of Investigative Journalist's "Panama Papers" project) issued to its affiliate by the **DOJ and the United States Attorney's Office for the Southern District of New York**, advocating for the client before various government officials and advising on the evolution of its AML program.
- Leading national bank in an AML investigation by **New York State and federal authorities**, formal subpoenas and informal requests for documents and testimony in addition to other inquiries and investigations related to AML and fraud.
- Large multinational bank in negotiations with the **NYDFS** over a potential settlement relating to AML/BSA compliance.
- Multinational state-chartered bank in a **NYDFS** investigation into potential AML/Bank Secrecy Act noncompliance.
- Foreign state-chartered bank in an enforcement action brought by the **NYDFS** which resulted in successfully negotiating a reduction in the penalty demand, however currently contesting the penalty figure and prepared to litigate the matter if necessary.

"Sources are united in praise of the firm's depth of expertise in the regulatory arena: 'Debevoise is an outstanding firm for bank regulatory advice. They understand the landscape well and provide practical advice based on a deep understanding of how the regulators think.'"

—*Chambers USA 2017: Financial Services Regulation: Banking (Compliance)*



Debevoise is the only law firm invited to participate in **The Financial Services Information Sharing and Analysis Center (FS-ISAC)**, an association developed to work on cutting-edge efforts against cyber-crime specific to the banking industry. The organization is comprised of CEOs from the largest U.S. banks, including Bank of America, BNY Mellon, Citigroup, Goldman Sachs, JPMorgan Chase, Morgan Stanley, State Street and Wells Fargo.



Regulatory & Compliance

Debevoise's Bank Regulatory Practice is a preeminent financial industry practice that underpins and supports our enforcement, litigation and cybersecurity defense practices. Our regulatory lawyers have unequaled experience helping U.S. and multinational clients navigate regulatory obstacles ranging from the Volcker Rule and ring-fencing to capital requirements, and from consumer enforcement to complex structuring issues. We advise on all aspects of financial services regulation pertaining to commercial banks, investment banks and broker-dealers. The Group, which includes a number of former regulators and federal prosecutors, is active in various industry groups and acts as outside counsel to key financial services trade associations, including the:

- American Council of Life Insurers
- Clearing House Association
- Investment Company Institute
- Financial Services Roundtable
- European Banking Federation
- Risk Management Association
- Securities Industry and Financial Market Association

Examples of Regulatory & Compliance Matters

- Multinational bank in structuring its investment in renewable energy tax credits, modeled on its investment in low-income housing tax credits.
- Multiple banks and brokerage firms on how to address the impact of the Department of Labor fiduciary rule on its principal advisory products.
- Multinational bank and an industry trade association on potential reforms to the merchant banking regulations.
- Multiple banks on Volcker Rule illiquid funds issues.

“The ‘knowledgeable and responsive’ team at Debevoise provides ‘practical advice that goes beyond just an understanding of the regulatory requirements.’”


—The Legal 500 U.S. 2017 – Financial Services Regulation

Cybersecurity Defense

The banking sector is at the forefront of emerging cybersecurity and data privacy issues around the world. The nature of the sector makes it a major target of cyber attacks, and the wide scope of the activities of banks gives rise to a number of cybersecurity and data privacy challenges. In that context, accurate, informed and swift legal advice on these issues, along with effective cyber incident management, has become a crucial area of focus for banks, whether they be local or international players.

Debevoise's Cybersecurity and Data Privacy Group includes former senior cyber experts at the Department of Justice and the U.S. Attorney's Office for the Southern District of New York. The team assists banks and other financial institution clients with a broad range of data security, data privacy and data protection matters.

Our team has helped negotiate multinational cyber accords (including managing the DOJ's data breach responses) for many of the largest, high-profile cyber incidents, providing rare insight into how hackers operate.



When the complexities of a data breach are as varied as they are significant, having the perspective of advisers who have seen such breaches first-hand can be invaluable.



Clients state Debevoise lawyers provide “practical advice that goes beyond just an understanding of the regulatory requirements.”

—*The Legal 500 U.S. 2017 – Financial Services Regulation*



Our Team



Matthew L. Biben

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Matthew L. Biben co-leads the firm's Banking Industry Group. His practice focuses on problem solving; advising organizations and individuals and investigating, negotiating and litigating complicated regulatory and enforcement matters of all types with a particular focus on matters related to financial institutions and complex situations involving the government. He has extensive experience advising boards and senior management and his enforcement and advisory work has been wide-ranging. It includes internal investigations of both domestic and international matters relating to mortgages and other consumer products and securitization claims and data privacy breaches, False Claims Act, Anti-Money Laundering and Bank Secrecy Act work. Prior to joining Debevoise, he served for 10 years in senior in-house roles at two of the largest financial institutions.



Kara Novaco Brockmeyer

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Kara Novaco Brockmeyer is a member of the White Collar & Regulatory Defense and Strategic Crisis Response and Solutions Groups. Prior to joining Debevoise in 2017, Ms. Brockmeyer served as the Chief of the SEC Enforcement Division's Foreign Corrupt Practices Act Unit and directed a nationwide team of lawyers and forensic accountants investigating violations of the FCPA, including anti-bribery, books and records, and internal controls provisions of the federal securities laws. Over a 17-year career at the SEC, including five years as an assistant director, she has led and personally conducted major investigations in all areas of SEC enforcement, including financial reporting, broker-dealer and investment adviser violations and insider trading. She was also the founder and co-head of the division's Cross-Border Working Group, an interdisciplinary group focused on addressing accounting fraud by companies based overseas.



Helen V. Cantwell

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Helen V. Cantwell's practice focuses on white collar criminal defense, regulatory enforcement actions and internal investigations. Ms. Cantwell represents a wide range of individuals, financial institutions, companies and nonprofits. In addition to her extensive trial experience, she frequently advises clients on their compliance obligations. Prior to joining the firm, Ms. Cantwell served for eight years as an Assistant United States Attorney for the Southern District of New York. During her tenure in the U.S. Attorney's Office, she was a member of the Securities and Commodities Fraud Task Force and worked closely with the Securities and Exchange Commission, the Commodities Futures Trading Commission and other law enforcement and regulatory agencies.



Andrew J. Ceresney

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Andrew J. Ceresney is Co-Chair of the firm's Litigation Department. He represents public companies, financial institutions, asset management firms, accounting firms, boards of directors and individuals in federal and state government investigations and contested litigation in federal and state courts. Mr. Ceresney has many years of experience prosecuting and defending a wide range of white collar criminal and civil cases, having served in senior law enforcement roles at both the United States Securities and Exchange Commission and the U.S. Attorney's Office for the Southern District of New York. Prior to rejoining Debevoise in 2017, Mr. Ceresney served for nearly four years as the Director of Enforcement at the SEC under Chair Mary Jo White.



Courtney M. Dankworth

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Courtney M. Dankworth's practice focuses on banking enforcement actions and disputes related to financial services and consumer finance, including regulatory investigations conducted by the Department of Justice, state attorneys general and state banking regulators. Her representations have included negotiating and implementing the National Mortgage Settlement that settled claims by state and federal agencies against the country's five largest mortgage servicers, as well as other mortgage, credit card and consumer finance issues.



Sean Hecker

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Sean Hecker's practice focuses on white collar criminal defense, internal investigations and complex civil litigation. He has tried numerous cases to juries in federal and state court and regularly defends individuals and companies in grand jury and regulatory investigations and criminal proceedings involving allegations of securities fraud, money laundering and criminal antitrust violations. He has conducted numerous internal investigations of alleged FCPA violations and regularly advises companies on anti-corruption compliance issues.



Luke Dembosky

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Luke Dembosky is Co-Chair of the firm's Cybersecurity & Data Privacy practice and focuses on cybersecurity incident preparation and response, related civil litigation and regulatory defense, as well as national security issues. His recent cybersecurity matters include managing response to one of the largest corporate data breaches in history, leading data breach litigation for a major financial institution and assisting a wide range of the firm's clients in managing cyber and related supply chain risks. Mr. Dembosky joined the firm after serving as Deputy Assistant Attorney General for National Security at the U.S. Department of Justice. In this capacity, he oversaw all national security cyber cases and was the first to manage a new "National Asset Protection" portfolio covering cybersecurity, economic espionage, export control and foreign investment review matters, giving him responsibility over a wide range of technology-related threats.



Mary Beth Hogan

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Mary Beth Hogan is Co-Chair of the Litigation Department. Her practice focuses on regulatory investigations and enforcement actions involving various federal and state regulators. In the past several years, she has represented a number of large financial institutions on various mortgage- and credit card related investigations and class actions.



Arian M. June

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Arian June's practice focuses on securities enforcement defense, internal investigations, state attorneys general inquiries and white collar criminal defense. She has represented financial institutions, publicly traded companies, investment advisers and senior executives in complex regulatory matters, including allegations of securities fraud, insider trading, accounting and corporate disclosure issues, violations of the Bank Secrecy Act, cyber intrusions and mortgage fraud. Ms. June also advises clients on various facets of the Dodd-Frank Act, with particular emphasis in designing corporate policies and procedures to comply with the Dodd-Frank Whistleblower regulations, investigating corporate whistleblower reports and mitigating whistleblower-related risks.



Robert B. Kaplan

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Robert Kaplan has significant experience with a broad range of securities-related enforcement and compliance issues, including those involving requirements affecting SEC-registered investment advisers affiliated with hedge funds, private equity funds, investment companies, mutual funds and separately managed accounts. Prior to joining the firm, Mr. Kaplan was Co-Chief of the Asset Management Unit of the U.S. Securities and Exchange Commission's Division of Enforcement. In this role, he co-led a team of 75 lawyers and industry experts focused on investigations related to potential violations of securities laws by advisers to hedge funds, private equity funds, mutual funds and separately managed accounts. He partnered with senior leadership in other divisions of the SEC to establish law enforcement priorities in the asset management industry and developed cross-agency initiatives to proactively detect violations in emerging risk areas. During his 17-year tenure at the SEC's Division of Enforcement, Mr. Kaplan played a leading role in SEC enforcement actions across a variety of areas, including in actions related to Investment Advisers, Financial Fraud, Auditors, the FCPA, Broker-Dealers and Insider Trading.



Satish M. Kini

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Satish Kini is Chair of the firm's Banking Group. He advises on a wide range of regulatory and transactional banking issues ranging from the Volcker Rule to affiliate transactions, anti-money laundering, economic sanctions and data privacy/security. Mr. Kini has represented a wide range of firms (including banks, securities broker-dealers, insurers and asset managers) and leading industry trade associations on regulatory reform issues, including those arising out of the Dodd-Frank Act, and has assisted clients to participate in the policymaking process before federal regulators. He has helped to create industry coalitions to advocate for regulatory positions and to arrive at consensus interpretations on difficult issues. He also has testified on Dodd-Frank issues before Congress and has represented clients on Dodd-Frank and other matters before the federal banking agencies, the U.S. Securities and Exchange Commission, the Financial Stability Oversight Council and the U.S. Treasury Department and its Financial Crimes Enforcement Network ("FinCEN") and Office of Foreign Assets Control ("OFAC"). And he currently serves as counsel to the Securities Industry and Financial Markets Association's ("SIFMA") AML Committee.



Andrew M. Levine

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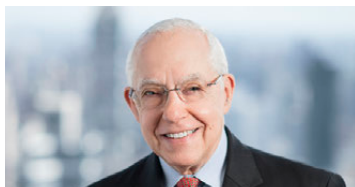
Andrew Levine's practice focuses on white collar and regulatory defense, internal investigations and a broad range of complex commercial litigation. He regularly defends companies in criminal, civil and regulatory enforcement matters and has conducted numerous investigations throughout the world. Mr. Levine frequently advises companies on compliance matters, including with respect to the U.S. Foreign Corrupt Practices Act, and the assessment and management of risks presented by potential mergers, acquisitions and other transactions. Before joining the firm, Mr. Levine served as Deputy Counsel to the Independent Inquiry Committee into the United Nations Oil-for-Food Programme, led by Paul A. Volcker. He spearheaded the investigation into the Security Council's oversight of Iraq's humanitarian purchases under the Programme through which thousands of companies made illicit payments exceeding \$1.5 billion to the former Iraqi regime, and he was one of the two principal editors of the Committee's numerous official reports.



Gregory J. Lyons

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Gregory Lyons is Co-Chair of the firm's Financial Institutions Group. He focuses his practice on serving the needs of financial institutions, as well as private equity and other entities that invest in financial institutions, with a particular emphasis on domestic and cross-border bank regulatory, transactional and examination matters.



Michael B. Mukasey

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Michael B. Mukasey's practice focuses on internal investigations, independent board reviews and corporate governance. He recently served as Attorney General of the United States, the nation's chief law enforcement officer. As Attorney General, he oversaw the U.S. Department of Justice and advised on critical issues of domestic and international law. Judge Mukasey also served as a district judge in the United States District Court for the Southern District of New York, becoming Chief Judge in 2000. In addition, he served as an Assistant United States Attorney for the Southern District of New York, and as Chief of the Official Corruption Unit from 1975 to 1976. His practice consisted of criminal litigation on behalf of the government, including investigation and prosecution of narcotics, bank robbery, interstate theft, securities fraud, fraud on the government and bribery.



David A. O'Neil

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David A. O'Neil's practice focuses on white collar criminal defense, internal investigations, privacy and cybersecurity, congressional investigations and AML/sanctions enforcement defense. Prior to joining Debevoise, he served for eight years in prominent positions within the Department of Justice where he led the Criminal Division and was responsible for supervising more than 600 lawyers investigating and prosecuting the full range of federal crimes, including corporate malfeasance, cybercrime, fraud offenses and money laundering. Mr. O'Neil also served as Deputy Assistant Attorney General for the Fraud Section where he supervised more than 100 prosecutors engaged in nationwide enforcement against FCPA violations, healthcare fraud, and securities and financial fraud.



Winston M. Paes

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Winston M. Paes's practice focuses on white collar criminal defense, regulatory enforcement and internal investigations. Prior to joining the firm, he served for nine years as an Assistant U.S. Attorney in the Eastern District of New York, the final two years of which he spent as Chief of the Business and Securities Fraud Section. As Section Chief, Mr. Paes supervised a team of 20 experienced federal prosecutors focused on white collar matters. Under his leadership, the EDNY significantly expanded its white collar practice and prosecuted a number of the Department of Justice's most high-profile matters. Before his appointment as a Section Chief, Mr. Paes also served as the Deputy Chief of the Business and Securities Fraud Section and Supervisor of its Medicare Fraud Task Force. During his tenure as a federal prosecutor, Mr. Paes investigated and prosecuted a number of notable criminal matters, primarily related to securities and accounting fraud, insider trading, cybercrime, kickback schemes, money laundering, violations of the Foreign Corrupt Practices Act, Bank Secrecy Act and Food, Drug and Cosmetic Act. In his leadership position, Mr. Paes worked closely with senior officials at the Securities and Exchange Commission, the Federal Bureau of Investigation, the Commodities Futures Trading Commission, the Federal Reserve Bank of New York and other foreign and local regulators.



Jim Pastore

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Jim Pastore's practice focuses on data privacy and cybersecurity issues. Prior to rejoining the firm, he served for five years as an Assistant United States Attorney in the Southern District of New York. While he was with the Criminal Division of the U.S. Attorney's Office, Mr. Pastore spent most of his time as a prosecutor with the Complex Frauds Unit and Computer Hacking and Intellectual Property Section.



David L. Portilla

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David L. Portilla's practice focuses on advising international and domestic banking organizations and other financial institutions on transactional, regulatory and governance matters. He has particular experience in matters relating to financial regulatory reform, including the Volcker Rule, enhanced prudential standards and the prudential regulation of nonbank financial companies. Prior to joining Debevoise in 2013, Mr. Portilla was a senior policy advisor to the U.S. Department of the Treasury's Financial Stability Oversight Council (FSOC) office. He was a member of the initial team that established the FSOC and helped develop its substantive agenda, operating procedures and governance structures. He was the lead staff member responsible for coverage of Dodd-Frank Act implementation and other financial institutions, regulatory issues and worked on a number of significant matters, including the interagency rule-writing process for the Volcker Rule, enhanced prudential standards, and developing the FSOC's policy for the use of "living wills."



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Julie M. Riewe's practice focuses on securities-related enforcement and compliance issues and internal investigations. She has significant experience with matters involving private equity funds, hedge funds, mutual funds, business development companies, separately managed accounts and other asset managers. Prior to joining the firm, Ms. Riewe was Co-Chief of the Asset Management Unit of the U.S. Securities and Exchange Commission's Division of Enforcement. In this capacity, Ms. Riewe oversaw a nationwide program of investigations focusing on investment advisers, investment companies, mutual funds, hedge funds, private equity funds and other investment vehicles managed by investment advisers. She co-led a team of nearly 80 lawyers, industry experts and other professionals in all 12 SEC offices, and was responsible for directing the SEC's asset management-related enforcement efforts.



David Sarratt

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David Sarratt is a seasoned trial lawyer whose practice focuses on white collar criminal defense, internal investigations and complex civil litigation. Prior to joining the firm, he served as an Assistant United States Attorney in the Eastern District of New York. As a federal prosecutor, Mr. Sarratt supervised and participated in a wide variety of investigations and prosecutions, involving international terrorism, cybercrime, financial and healthcare fraud, racketeering and other crimes. He successfully tried numerous cases to verdict and briefed and argued appeals in the U.S. Court of Appeals for the Second Circuit.



Jonathan R. Tuttle

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Jonathan Tuttle has represented public companies, regulated institutions, boards of directors, audit and special committees of boards and individual directors, officers and employees in enforcement investigations and proceedings brought by the Securities and Exchange Commission, the Department of Justice, FINRA and the PCAOB, as well as in securities class actions, shareholder derivative suits, internal corporate investigations and a variety of other securities and finance-related litigation and regulatory matters.



Bruce E. Yannett

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