



Securities Regulation

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Overview

In an environment where regulatory oversight is the cost of doing business, we help clients achieve their objectives when registering, facing investigations, and everything in between.

Our Investment Adviser Regulation and Compliance team assists clients on operational issues facing registered and unregistered investment such as registering with the Securities and Exchange Commission, complying with the Investment Advisers Act of 1940, developing and improving written policies, observing fiduciary duties, and identifying and mitigating conflicts of interest.

Bringing experience with the SEC, self-regulatory organizations (including FINRA and its predecessors, NASD, and NYSE), state securities regulators, and federal and state criminal and civil prosecutors, we help our clients respond to examinations, inquiries and industry sweeps, and

Accolades

"With its national coverage and depth of expertise, the firm's bet-the-company labor and employment litigation practice is very well known."

Legal 500 US

remediate deficiencies. As investigations have become more international in scope, so has our practice. We represent clients around the world in securities enforcement and related matters.

Should litigation arise, O'Melveny combines its deep trial experience and expertise to negotiate satisfactory resolutions or litigate aggressively where appropriate. Many of our lawyers regularly contest some of the most challenging and high-profile securities actions. We are equally adept in resolving cases by settlement and has obtained favorable results for clients.

What Sets Us Apart

- Our lawyers include a former senior member of the SEC's Division of Enforcement and former federal prosecutors with specific and longstanding experience in criminal enforcement of the securities laws.
- With offices in the world's leading financial centers, we have the resources and geographic reach to effectively respond to transnational investigations, particularly in the Foreign Corrupt Practices Act (FCPA) arena.
- We assist investment advisers with respect to political activities, including compliance with federal and state regulations covering pay-to-pay, campaign finance, lobbying and procurement activities, and ethics rules including limitations on gifts and entertainment.

Clients

- Fidelity
- Ameriprise
- BlackRock
- Apollo
- Avenue Capital
- BNY Mellon
- Brookfield
- Credit Suisse
- Davidson Kempner
- Franklin Resources
- Goldman Sachs
- Prudential Financial

Related Industries

- Banking & Financial Services

Related Practices

- Litigation
- Securities Litigation
- White Collar Defense & Corporate Investigations