

# GOVERNMENT ENFORCEMENT DEFENSE

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When you face the federal government, it is important to get it right. The lawyers at Murphy Cooke Kobrick bring decades of federal government experience to help make the critical difference when professional reputations, personal liberty and financial security are at stake. Whether you need help in responding to a SEC subpoena in an insider trading investigation, or if you find yourself the subject of an SEC or criminal grand jury investigation of accounting fraud, we can help you. Our firm was founded by three former SEC enforcement attorneys and through our public and private sector experience, we know the federal government and its attorneys. We take pride in having assisted multiple individuals and corporations successfully navigate regulatory investigations by persuading the government to not pursue charges, and are particularly skilled at handling the complexities of “parallel proceedings,” where civil and criminal authorities conduct simultaneous investigations. When charges cannot be avoided, we have helped our clients achieve highly favorable settlements with government and, when such settlements are not feasible or desirable, we have thrive at developing litigation and trial strategies that achieve excellent results for our clients.

## RECENT ENGAGEMENTS INCLUDE:

- Defending a former employee of investment adviser to venture capital fund in parallel S.E.C. and U.S. Department of Justice investigations.
- Successfully defending a former bank executive in government investigation and lawsuit following the collapse of a publicly held bank. We persuaded the FDIC enforcement attorneys not to bring any regulatory action against our client and then negotiated a highly favorable settlement of the FDIC receiver’s federal court lawsuit against our client.
- Successfully represented a venture capital fund in connection with an S.E.C. investigation into pre-IPO securities derivatives.
- Currently representing three former officers against parallel investigation by the S.E.C., the FDIC, and the U.S. Department of Justice concerning possible accounting fraud in connection with the collapse of a public company.
- Successfully completed representation of a hedge fund manager in S.E.C. investigation. The matter was closed with no charges recommended against our client.
- Successfully represented several former employees of a public company facing investigation by the S.E.C. of accounting improprieties without any action taken against our clients.

- Successfully defended former Director of public internet marketing company against parallel S.E.C. and U.S. Department of Justice investigation.
- Successfully defended attorney in S.E.C. insider trading investigation involving potential misappropriation of merger information. The matter was closed by the S.E.C. with no charges recommended.
- Represented private company in criminal grand jury investigation by the U.S. Department of Justice involving False Claims Act.
- Represented attorney in S.E.C. investigation involving allegations of violation of the Investment Advisers Act of 1940.
- Represented CEO in grand jury investigation by the U.S. Department of Justice involving allegations of government contractor fraud.
- Represented social media company in S.E.C. investigation regarding its pre-IPO stock transactions.
- Represented former CEO and CFO of financial company in S.E.C. investigation and Wells process involving mortgage-backed securities.
- Successfully represented private equity firm and its chairman in an insider trading investigation by the S.E.C. The matter was closed by the S.E.C., with no charges recommended.
- Defended financial services company in litigation with the California State Attorney General's Office involving False Claims Act charges for foreign currency transactions.
- Successfully represented public company in internal investigation and S.E.C. investigation relating to inventory accounting and disclosure. The matter was closed by the S.E.C., with no charges recommended.
- Represented former executive and general counsel of computer networking company in complex financial fraud litigation with the S.E.C.