
Compliance and Enforcement

Broker-Dealer Compliance and Regulation

Recognized as “a force in handling high-stakes regulatory enforcement actions on behalf of banking clients,” (*Chambers USA* 2017) our group has represented financial market participants in a wide range of regulatory examinations and administrative proceedings initiated by the SEC, FINRA, state securities regulators and other governmental agencies and self-regulatory organizations. The firm’s broker-dealer team is closely integrated with our industry-leading securities enforcement practice, which regularly guides clients through the nuances of the enforcement process and has achieved favorable resolutions at every stage—whether in informal inquiries involving requests for information, formal investigations involving subpoenas for records and sworn testimony, or advocacy with ultimate decisionmakers, such as the commissioners of the SEC.

With their experience leading internal investigations and representing clients in administrative proceedings and enforcement actions relating to a variety of broker-dealer activities, our broker-dealer lawyers form an important facet of WilmerHale’s broader investigations practice, which is consistently ranked at the top of *Global Investigations Review’s* list of the world’s 30 leading investigations and compliance practices.