



## WHITE COLLAR

Diamond McCarthy lawyers have successfully defended clients facing federal and state government investigations, handling white collar matters in nearly all substantive areas, including securities fraud, financial institution fraud, insider trading, money laundering, RICO, stock market manipulation, tax fraud, *Ponzi* schemes, identity theft, corporate embezzlement, forgery, HUD and student loan fraud. We frequently represent clients in criminal investigations and cases brought by the United States Department of Justice and U.S. Attorneys' offices around the country. Diamond McCarthy lawyers also defend clients throughout the United States in investigation and enforcement proceedings initiated by federal agencies, such as the United States Federal Exchange and Securities Commission. If an investigation cannot be diffused, and litigation ensues, we defend our clients powerfully at trial.

Our white collar team has deep expertise in handling criminal and state investigations and prosecutions. This team of lawyers is highly experienced in managing complex federal and state court litigation, handling simultaneous inquiries by multiple federal and state government agencies and prosecutors, and defending the companion civil cases that frequently follow. We guide our clients safely through government inquiries, with the clear intent of resolving government investigations discreetly, without prosecution or other public action.

### **Strategic Preventive Advice**

Our clients include corporations, investment management companies, brokerage firms, officers, directors and executives. We help them through the judgment calls necessary to efficiently manage risk, defend investigations and preserve their business stability and reputation. Taking a proactive approach, we offer our clients strategic preventative advice on establishing, maintaining and enforcing compliance programs and addressing corporate governance issues. While addressing immediate concerns, we also evaluate the risks posed by government agencies and an aggressive plaintiffs' bar.

Our understanding of the way government investigators, regulators, and prosecutors build cases enables us to head off or shorten investigations and avoid liability where possible - and is based on our lawyers' deep first hand experience.

### **Credible Internal Investigations**

We have directed the most complex and challenging internal investigations to successful conclusion, helping our clients resolve critical concerns such as whether to disclose findings, waive privileges or take remedial measures. Lawyers in our White Collar practice work closely with lawyers in the firm's other practice areas to ensure that our clients benefit from the breadth and depth of the firm's experience.

### **Criminal and Regulatory Defense of Securities Matters**

Diamond McCarthy's white collar defense and securities lawyers are thoroughly knowledgeable about the regulatory underpinnings and business operations of investment advisers, investment companies, broker-dealers, financial firms and public companies subject to SEC oversight and investigation. Applying our depth of knowledge and experience, we devise sound strategies, maintain credibility with government

agencies and obtain efficient and successful resolutions for our clients.

### **Asset Forfeiture**

Federal and state agencies can recoup property through administrative, civil and/or criminal seizure and forfeiture procedures. Diamond McCarthy lawyers have successfully assisted clients who have been victims of fraud in obtaining the return of millions of dollars in cash, jewelry, automobiles, and luxury homes which had been seized from the perpetrator by the United States Government.