Internal Investigations

Internal investigations are a vital tool for companies to self-police, mitigate risk and manage potential crises. When necessary, they help address whistleblower claims and effectively get ahead of and respond to government investigations. Our experience with internal investigations runs the gamut, from examining allegations of financial fraud to analyzing compliance with a variety of state and federal regulations.

Our Services

By virtue of the firm's financial-services-related practices, we are well-versed in conducting internal investigations in matters involving securities, financial regulations and a broad spectrum of related state and federal crimes. We handle investigations stemming from employee malfeasance, customer interactions and whistleblower complaints. Our lawyers have also worked with clients on investigations pertaining to antitrust violations, employee embezzlement and theft of trade secrets, and Medicare and Medicaid fraud and abuse, as well as various federal and state regulations on a variety of other issues.

We represent public company audit committees, banks, investment advisers, mutual fund independent trustees, broker-dealers and insurance companies regarding financial fraud, accounting issues, loan-loss assessment, cross-trading, trade allocation, valuation procedures, selling-away and outside business activities.

With the technological savvy needed to operate in today's digital environment, our firm regularly conducts large-scale document review that is necessary in many investigations; we are nimble and can quickly — and cost-effectively — sift through volumes of data to identify relevant documents. We conduct internal investigations relative to state and federal regulatory and enforcement matters, as well as criminal investigations initiated by local district attorney's offices, state attorneys general and the U.S. Department of Justice (DOJ).

Representative Matters

- Led an internal investigation for a company allegedly victimized by its controller who forged reports and lied to management to cover up financial challenges.
- Led an internal investigation for a broker-dealer involving allegations of anti-competitive behavior in bids for esoteric securities.
- Led an internal investigation into an employee death at a warehouse facility based on concerns of Occupational Safety and Health Administration (OSHA) and state law workplace safety violations.
- Led an internal investigation into antitrust allegations involving the purchase of tax liens.
- Led an internal investigation involving allegations of sales of forged art.
- Led an internal investigation involving the theft of trade secrets by a departed employee later used at a competitor.
- Represented a senior company accounting executive concerning allegations of false charges in a government project.
- Led an internal investigation on behalf of a U.S. Department of Defense (DOD) contractor being investigated by the DOJ

and DOD for contracting fraud and False Claims Act allegations.

- Conducted internal investigations involving the following allegations:
  - Improper cross-trading by investment adviser representatives.
  - Valuation issues for a mutual fund client.
  - Channel stuffing and related corporate malfeasance.
  - Revenue and accounting irregularities for a pre-IPO investment adviser client.
  - Fraud involving company equity investments and indexed life insurance policies.
  - Production of altered and falsified documents to a regulator.
  - Misappropriation of funds by registered representatives.