

SEC INVESTIGATIONS

You need experienced counsel at your side when you are confronted with an SEC matter. If you, or the organization that employs you, is under investigation then your counsel must be experienced and knowledgeable. SEC investigations are extremely complex and require clear strategy from day one.

What is Securities Fraud?

The Securities Exchange Commission regulates the securities industry and the nation's stock exchanges, in addition to the electronic securities markets. It enforces the Securities Exchange Act of 1933, Securities Exchange Act of 1934, the Investment Company Act of 1940, Investment Advisors Act of 1940, and the Sarbanes-Oxley Act of 2002, among other responsibilities. The SEC Enforcement Division is primarily responsible for bringing actions against alleged violators. The Commission has administrative and civil powers but can easily refer matters to the U.S. Attorney's Office for criminal enforcement. In the initial phase, the SEC investigations are known as "Matters Under Inquiry" and they have the ability to subpoena both testimony and require the production of documents. The purpose is to discover details relating to any "scheme or artifice to defraud" with regard to any potential or actual investor. Such schemes include: abusive short-selling practices, "spoofing," insider trading schemes, backdating of options, sale of fictitious securities, Ponzi schemes, shell company investments, misrepresentation of financial conditions, misappropriation of brokerage fees, bribery, subprime lending schemes, "churning," sham transaction schemes, and misappropriation of client assets. SEC witnesses agree to voluntarily testify, but do so at the risk of being prosecuted for giving false statements or obstruction. (18 U.S.C. § 1001 or 18 U.S.C § 1519).

To discuss your case with the Dillon Law Group, call our office at **404.713.3283**. We are glad to discuss your situation to see if we can be of assistance. Or, if you prefer, contact us at william@dillonlawgroup.com