

Government & Internal Investigations

Winstead maintains a broad and complex government and internal investigations practice covering a multitude of civil, criminal, and regulatory compliance matters. The practice group is headed by attorneys who previously served in senior positions with the Securities and Exchange Commission (SEC) and the Texas State Securities Board (TSSB). Winstead attorneys regularly practice before the SEC, Commodity Futures Trading Commission (CFTC), U.S. Department of Justice (DOJ), state securities regulators across the country, and Self Regulatory Organizations (SRO) like the Financial Industry Regulatory Authority (FINRA).

We zealously advocate for our clients through all stages of investigation and take pride in our ability to resolve matters without charges being filed. If charges do result, we are skilled in all aspects of litigation, from the pleading stage through discovery, trial and appeals.

Our clients include public and private companies, corporate boards of directors (including audit committees and special committees), corporate officers, financial institutions, registered investment advisers, private equity funds, broker-dealers, municipal advisers, healthcare providers, and others subject to regulatory scrutiny. Our goal is to advise each client from the courtroom to the boardroom, a process that will ultimately yield policies and practices enabling the client to move beyond the investigation to a successful future.

Key practice areas of Winstead's Government & Internal Investigations Practice Group include:

- Regulatory compliance counseling
- Securities fraud and related violations
- Commodities and related violations, including those involving block-chain technology and virtual currencies
- Anti-bribery and Foreign Corrupt Practices Act
- False Claims Act investigations
- Healthcare fraud
- Bank fraud
- Mail fraud
- Wire fraud
- Money-laundering schemes

We are adept at representing clients in parallel investigations of civil and criminal conduct. For example, our team understands the complexities representing a client in an SEC proceeding accompanied by an overlapping criminal DOJ investigation. Our attorneys have experience in state, federal, and closely related private litigation matters.

Related Practice

[White-Collar Defense](#)

Article I. [WinsteadSecuritiesDefense.com](#)

The Securities Litigation and Regulatory Enforcement resource blog provides legal news, trends, and insights into navigating the complexities of the Securities Exchange Commission (SEC), U.S. Department of Justice (DOJ), Financial Industry Regulatory Authority (FINRA), Texas State Securities Board, and other state securities regulators. This is a go-to resource for broker dealers (BDs), investment advisers (IAs), general counsels (GCs) and directors and officers (D&Os) throughout Texas and across the nation. [Subscribe here](#) to receive news alerts, insights and educational webinars covering issues impacting securities litigation and regulatory enforcement.