

## REGULATORY ACTIONS

---

### About Regulatory Actions

Clayman Rosenberg Kirshner & Linder LLP advises individuals and businesses before a wide variety of regulatory bodies. These matters have included investigations and inquiries by the SEC, FINRA, FTC, OFAC, the New York State Department of Taxation and Finance, the New York State Insurance Department, the New York State Department of Labor, and the New York State Department of Health. Clayman Rosenberg Kirshner & Linder LLP is one of the few law firms to defeat the United States Securities and Exchange Commission at trial before the SEC's own administrative law judge, winning a dismissal of all charges against a hedge fund operator after a month long trial.

---

### Representative Matters

- Represented employees at large U.S bank in AML regulatory investigation.
- Represented hedge fund and its principal in SEC investigation and ensuing administrative proceeding.
- Represented founder of NYC charitable organization in connection with NYS Attorney General Charities Bureau investigation.
- Represented director of publicly traded corporation in SEC regulatory investigation.
- Represented ticket broker in NYS Attorney General's regulatory investigation.

- Representing engineer employed by automobile manufacturer in regulatory investigations concerning diesel emissions testing.