

# Financial Institutions Internal Investigations

In addition to conducting internal investigations in the context of responding to regulatory requests, we periodically are called upon to perform internal reviews in other contexts. For example, we handle reviews to determine whether a firm is required to self-report a potential violation under FINRA Rule 4530 or other regulatory requirements and we conduct investigations triggered by whistle-blower complaints. We have developed expertise in these areas and in navigating through the thicket of collecting the relevant facts and communicating with regulators, while maintaining privilege to the extent that is in the client's best interests.

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