

Government Investigations & White Collar Defense Group

The government is a special adversary, with unique powers and vulnerabilities. Sullivan & Worcester LLP's Government Investigations & White Collar Defense Group focuses on those crucial matters in which government agencies are our clients' adversaries. At the core of the group is a team of seasoned investigative, trial and appellate attorneys, including former federal prosecutors, other former government attorneys, and tax attorneys, who offer substantial experience derived collectively from many hundreds of investigations, regulatory actions and prosecutions. The Group works both on high-profile matters and on those in which a key priority is avoiding publicity.

Entities such as national and global financial institutions, a prominent hotel, a leading television cable company, an international publisher, a major retailer, and directors and officers of publicly traded and privately owned companies have recently relied on S&W to respond to government investigations, to guide them through regulated industries, such as energy, environmental and telecommunications sectors, or to challenge actions against them. S&W has guided companies and members of management through corporate crises and internal investigations in response to allegations of wrongdoing. Our representations have included advocacy for subjects, targets, defendants, witnesses and victims through investigations, regulatory actions and other proceedings.

BREADTH OF PRACTICE

Our experience includes, among other representations, advocacy against accusations of the following:

- Securities law violations
- Tax deficiencies / Tax evasion
- Fraud
- Theft / Embezzlement
- Money laundering
- Foreign corruption
- Environmental offenses
- Theft of trade secrets
- Computer abuse
- Price fixing
- Labor laws

(continued)

- International child abductions
- False claims / False statements
- Obstruction of justice

Members of the Government Investigations & White Collar Defense Group not only span the firm's three offices in Boston, New York, and Washington, D.C., but also provide access to the numerous other jurisdictions in which they have practiced, and thousands of global contacts. The breadth of the Group allows flexibility in the size of matters that we handle, from assisting in the response to grand jury subpoenas to complex corporate investigations and crises. Our attorneys have the necessary experience to coordinate media strategies, when appropriate, or to focus on preventing potential crises from ever seeing the light of day. Virtually all major insurance companies have approved us for representation of their insured directors and officers.

INVESTIGATIONS AND COMPLIANCE

S&W has protected corporations and their constituents through the creation, implementation and enforcement of compliance programs. In connection with internal investigations consistent with effective compliance programs, our lawyers have safeguarded clients ranging from large, publicly traded financial institutions to start-up technology companies that faced potential criminal or regulatory enforcement actions. Our lawyers have extensive experience navigating clients through internal and government investigations, improving and implementing compliance programs, and when necessary, defending against enforcement actions or related litigation.

REPRESENTATIVE CLIENT WORK

Our lawyers' selected and recent experience includes:

- Internal corporate investigations in a variety of industries, including financial services, technology, health care, telecommunications, manufacturing, business services and not-for-profit
- Obtained the dismissal of all securities fraud and other criminal charges pending against a trading specialist in the Eastern District of New York
- Obtained dismissal of securities fraud charges in the Northern District of Texas
- Successfully represented numerous targets of tax investigations and controversies involving in total billions of dollars in alleged tax obligations

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- Won landmark appeal at state high court preserving work product protection over communications with accountants
- Represented a vice president of a New Jersey technology company targeted, but never charged, by a federal grand jury investigation into the alleged theft of trade secrets
- Sued state Attorney General for use of false adverse publicity against client, obtaining valuable consideration in a prompt settlement
- Successfully represented numerous directors and officers in response to SEC investigations
- Obtained dismissal of assault charges against celebrity and the sealing of all charges against him
- Won a motion to suppress and the dismissal of all charges in a federal criminal prosecution in the District of Massachusetts
- Successfully represented a leading national electronics retailer in quashing investigative subpoenas seeking customer information
- Obtained dismissal of false statement claims brought by the Office of the Attorney General based on allegations of related-party transactions
- Obtained reduction of charges from felonies to misdemeanors for professionals in matters ranging from alleged computer hacking in New Hampshire to alleged theft from a charity in New York
- Represented a Japanese chemical company accused of price-fixing and exposed to penalties in excess of \$100 million, resolved at a tiny fraction of that on the most favorable terms of any target
- Coordinated the recovery of abducted children with foreign government leaders, followed by winning a jury verdict in Connecticut, in the amount of \$27 million, against a subsidiary of a Fortune 50 company, based on its role in the events

- Representation of subjects and targets of high-profile "options backdating" and Ponzi-scheme investigations

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For further information about our Government Investigations & White Collar Defense Group, you may contact Barry S. Pollack, the leader of the Group, or any of its members:

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