



Administrative Action and Regulatory Enforcement

The Financial Services Litigation team is regularly involved in attorney general investigations regarding lending practices, OCC, Federal Reserve Bank and state banking commissioner examinations leading to regulatory action, enforcement actions by the CFPB and state equivalents, congressional inquiries and grand jury investigations, as well as inquiries and investigations by the Securities and Exchange Commission, Department of Justice, Pension Benefit Guaranty Corporation, Securities Investor Protection Corporation and the US Department of Treasury/FinGen. In addition, we conduct sensitive internal investigations and also advise management about programs and breaches of such programs, their effectiveness, and enforceability.

Representative Experience

- Defended client in trial in which the North Carolina Court of Appeals applied the national bank exception to state regulation of banks.
- Represented mortgage lender and broker applicant upon Petition for Approval of License to the Virginia State Corporation Commission following denial of application for license by the Bureau of Financial Institutions.

Experience

Publicly Traded Holding Company of Community Bank

Conducted Internal Investigation for Publicly Traded Holding Company

Williams Mullen's Government and Corporate Investigations team conducted internal investigation and provided advice regarding remedial and disciplinary actions and in responding to requests for additional information.

Member of Board of Directors of Community Bank

Represented Board Member of Public Company in SEC Investigation of Insider Trading

Represented individual board member of public company in SEC investigation of insider trading.

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