



## Daniel T. Chaudoin

Partner

Washington, DC  
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**Dan is a former Assistant Director of the United States Securities and Exchange Commission (SEC) and has decades of experience representing financial institutions, public companies, and individuals in high-profile investigations regarding federal securities laws and consumer protection laws.**

Dan's practice focuses on representing financial institutions in investigations regarding federal securities laws, consumer protection laws, and unfair and deceptive trade practices. He regularly appears before the Securities and Exchange Commission (SEC), the Financial Industry Regulatory Authority (FINRA), and the Consumer Financial Protection Bureau (CFPB).

Dan served on the staff of the SEC for 10 years, ultimately as Assistant Director, Division of Enforcement. While at the SEC, he led a team of attorneys in the investigation and litigation of cases involving the Securities Act, the Securities Exchange Act, the Investment Advisers Act, the Investment Company Act and the Foreign Corrupt Practices Act (FCPA). He also coordinated SEC actions with related criminal investigations by the Department of Justice and by the U.S. Attorney's Offices for the Southern and Eastern Districts of New York, Central District of California, Middle District of Florida, and District of Delaware.

Prior to joining Winston, Dan was a partner at a large international law firm, where he drew on his experience at the SEC to help large financial institutions, public companies, and individuals attain positive outcomes in investigations by federal regulators.

# Key Matters

*Some of the experience represented below may have been handled at a previous firm.*

- Representing a major financial institution in successfully negotiating one of the largest CFPB settlements in agency history
- Representing a major financial institution in over-lapping inquiries by multiple regulators, including the CFPB and the Office of the Comptroller of the Currency, relating to consumer account opening practices
- Representing a special purpose acquisition company (SPAC) in a precedent setting SEC enforcement action
- Representing a broker-dealer relating to congressional and regulatory investigations
- Representing a major financial institution relating to a CFPB investigation into its student loan servicing practices
- Representing the Audit Committee of a public company in investigating whistleblower allegations relating to financial reporting practices
- Representing broker-dealers in SEC and FINRA investigations regarding institutional trading and market structure issues, including alleged violations of the SEC's Market Access Rule, ATS ("dark pool") order routing and trade reporting practices, and alleged market manipulation "spoofing"

# Recognitions

- Recommended in the 2021 edition of *The Legal 500 US* for Corporate Investigations and White-Collar Criminal Defense
  - Recommended in the 2018 edition of *The Legal 500 US* for his financial services regulation practice
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# Credentials

## EDUCATION

Daniel received his J.D. with honors from the University of Chicago Law School in 1996. He received his B.A. with high honors in philosophy from Swarthmore College in 1991, where he was a member of Phi Beta Kappa.

## ADMISSIONS

- District of Columbia

# Related Insights & News

## PUBLICATIONS

- "The SEC's New Approach to Neither-Admit-Nor-Deny Policy May Not Be So New After All," *New York Law Journal*, Dec. 2021
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## IN THE MEDIA

Three Litigation Partners Join Winston in Washington, D.C.

JULY 19, 2023

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## PRESS RELEASE

Winston & Strawn Boosts D.C. Office's Patent Litigation and Government Investigations Capabilities With Addition of Three Partners

JULY 17, 2023

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# Capabilities

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Compliance Programs

Securities, M&A & Corporate Governance Litigation

Financial Services Transactions & Regulatory

Public Companies

Financial Services