



## Daniel T. Chaudoin

Partner

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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), the Consumer Financial Protection Bureau (CFPB), the U.S. Commodity Futures Trading Commission (CFTC), and state Attorneys General, among others.

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 oversaw coordinated efforts with FINRA and directed 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 coordinated investigations by the CFPB and state attorneys general relating to its partnership with an e-wallet provider
- Representing an executive at a pharmaceutical company in an investigation by the SEC into alleged insider trading
- Representing an executive of a wellness company in an investigation by the SEC related to alleged fraudulent public disclosures
- Representing a major financial institution in successfully negotiating one of the largest CFPB settlements in agency history
- Representing a broker-dealer in attaining a positive outcome in a CFTC investigation relating to precious metals sales and offerings
- 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

- Dan was recognized in *Lawdragon's* "500 Leading Global Litigators" guide for International Litigation & Arbitration (esp. Banking & Finance) in 2024 and "500 Global Leaders in Crisis Management" guide for Investigations, Cross-Border, and Financial in 2025.
  - Dan has been recommended by *Legal 500 US* for his financial services regulation practice in 2018, Corporate Investigations and White-Collar Criminal Defense in 2021, and Financial Services Litigation in 2024.
  - Dan was recognized by *The Best Lawyers in America*® for his work in Securities Litigation in 2025.
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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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## WEBINAR

What’s Going on in the World of Enforcement?

JUNE 25, 2025

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## CLIENT ALERT

SEC Investigations: A Primer

JUNE 24, 2025

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## RECOGNITIONS

Winston Partners Featured on the 2025 *Lawdragon* 500 Global Leaders in Crisis Management List

JUNE 18, 2025

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## CLIENT ALERT

“SEC Speaks” Shift in Regulatory and Philosophy Priorities

JUNE 3, 2025

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## CLIENT ALERT

“SEC Speaks” Enforcement Summary: What You Need to Know

MAY 23, 2025

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## CLIENT ALERT

The CFTC’s Mitigation Credit Matrix: New Guidelines for a New Context

APRIL 29, 2025

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## SPONSORSHIP

Winston & Strawn Sponsors SIFMA C&L Annual Seminar

MARCH 23, 2025

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## WEBINAR

State Attorneys General: The New Financial Regulators?

MARCH 6, 2025

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## CLIENT ALERT

**WEBINAR**

CFPB and SEC Developments in Trump’s Second Term – What You Need to Know  
FEBRUARY 13, 2025

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**BLOG**

Understanding Reg E: A Primer  
JANUARY 29, 2025

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**BLOG**

Winston & Strawn Launches Reg E Reader Blog  
JANUARY 29, 2025

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# Capabilities

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Compliance Programs

Securities, M&A & Corporate Governance Litigation

Financial Innovation & Regulation

Public Companies

Financial Services

Consumer Financial Services