



Financial Services Litigation

Winston's financial services litigators advise financial services companies of every size and scope on litigation, dispute resolution, and regulatory matters in local, state, and federal jurisdictions. While we are proud to have advised many clients as to how avoid formal legal proceedings, should litigation arise, we bring to bear the full strength of our nationally renowned litigation and trial practice when it does arise.

Our team is acutely familiar with the numerous laws and regulations that impact the financial services industry, including all aspects of the Dodd-Frank Act, and counsels a wide variety of institutions, including banks, funds, exchanges, broker-dealers, investment advisors, and insurance companies in their abidance and accommodation. We also recognize that despite deploying the most diligent compliance strategies, enforcement actions and private litigation are sometimes unavoidable.

In the event of an enforcement action, we offer clients a full-service government investigation, enforcement, and compliance team with decades of experience representing clients in connection with investigations initiated by the:

- Department of Justice (DOJ);
- Federal Trade Commission (FTC);
- Securities and Exchange Commission (SEC); and
- other regulatory agencies.

A number of our attorneys who do this work previously served as prosecutors for these agencies.

We also represent financial institutions in consumer-initiated class actions brought pursuant to the:

- Civil Rights Act (CRA);
- Electronic Fund Transfer Act (EFTA);

- Equal Credit Opportunity Act (ECOA);
- Fair Credit Reporting Act (FCRA);
- Fair Debt Collection Practices Act (FDCPA);
- Fair Housing Act (FHA);
- Racketeer Influenced and Corrupt Organizations Act (RICO);
- Real Estate Settlement Procedures Act (RESPA);
- Truth in Lending Act (TILA);
- Various states' unfair competition laws, including California's, which is known as its "UCL";
- and other state and federal consumer-protection statutes.

We have built a particularly distinguished reputation for handling class and collective actions as well as non-class matters involving:

- anti-money Laundering (AML) regulations;
- securities claims, including shareholder derivative suits;
- the Foreign Corrupt Practices Act (FCPA); and
- residential mortgages.

Additionally, we have substantial experience representing financial institutions in matters related to:

- antitrust/competition
- bankruptcy
- commodities
- data security
- derivatives
- employment
- e-discovery and information governance
- insurance
- intellectual property
- Non-compete and non-disclosure agreements
- Ponzi/pyramid schemes
- Privacy
- restrictive covenants
- trade secrets

Whatever the challenge may be, we serve the full scope of litigation and regulatory needs of our clients in the financial services sector.

Key Contacts

Jack Knight

Areas of Focus

Financial Services Industry Group

For more than a century, we have been a trusted advisor and advocate to financial services clients around the world, advising them in some of their highest-stakes and most sensitive matters. Our multidisciplinary Financial Services Industry Group represents leading banks and financial services companies in a range of complex corporate and transactional matters; litigation and disputes; and regulatory, compliance, and enforcement matters.

[Learn More](#)

Financial Services Corporate & Transactions

Our financial services corporate and transactional lawyers are grounded in the issues that financial institutions face worldwide and offer extensive experience assisting financial services firms with their corporate and transactional needs. From the formation of a new subsidiary or joint venture to the completion of a significant merger or acquisition, we are capable of handling transactions exceptionally and efficiently.

Financial Services Regulatory, Compliance & Enforcement

We have a broad and established regulatory, compliance, and enforcement practice. We advise a wide range of financial services clients on federal and state supervisory examinations and in developing and implementing corrective action and remediation responses for numerous agencies, including, the Office of the Comptroller of the Currency (OCC), Consumer Financial Protection Bureau (CFPB), Federal Reserve Board (FRB), Federal Deposit Insurance Corporation (FDIC), Financial Crimes Enforcement Network (FinCEN), Treasury/ Office of Foreign Assets Control (OFAC), New York State Department of Financial Services (NYDFS), New Jersey Department of Banking and Insurance (NJDOBI), and Florida Office of Financial Regulation (FOFR).

Insurance

Our insurance lawyers provide insurance companies with best-in-class advice, corporate and transactional counsel, and, if need be, litigation defense in high-stakes coverage disputes and class actions. We have achieved excellent outcomes for our clients in matters involving a wide variety of insurance policies and claims, including cybersecurity, travel, long-term care, and annuities, among others. Moreover, we have experience in emerging issues and industries, such as blockchain technology and artificial intelligence, both of which present insurers with a unique and complicated set of risks and opportunities.

[Learn More](#)

Financial Crimes Compliance

Winston's financial crimes compliance lawyers have been providing Bank Secrecy Act (BSA), AML, and countering the financing of terrorism (CFT) regulatory compliance counseling and enforcement-related services for decades. Winston's attorneys also have experience with international AML matters including in the EU and with respect to Financial Actions Task Force (FATF) recommendations.

[Learn More](#)

Related Capabilities

Antitrust/Competition	Appellate & Critical Motions	Bankruptcy Litigation & Investigations	
Class Actions & Group Litigation	Commercial Litigation & Disputes		Compliance Programs
eDiscovery & Information Governance	Environmental, Social & Governance (ESG)		
ERISA Litigation	Financial Services Transactions & Regulatory		
Government Investigations, Enforcement & Compliance			
Government Program Fraud, False Claims Act & Qui Tam Litigation			Intellectual Property
International Arbitration	International Trade	Labor & Employment	Litigation/Trials
Restructuring & Insolvency	Securities, M&A & Corporate Governance Litigation		
Financial Services	Government Contracts	Insurance	
European Disputes, Regulatory & Compliance		Latin America & Caribbean	

Related Insights & News

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Winston & Strawn Sponsors Enterprise GC 2024 Conference

29-30, APRIL 2024

RECOGNITIONS

Winston & Strawn Paris Recognized in *The Legal 500 EMEA* 2024

MARCH 27, 2024

BLOG

Come See Us Before We Come See You – DOJ Announces New Whistleblower Program Intensifying Corporate Enforcement Efforts

MARCH 14, 2024

SPEAKING ENGAGEMENT

Bill O'Neil Speaks at the 36th Annual Tulane Corporate Law Institute

MARCH 7, 2024

IN THE MEDIA

Co-founder of Winston & Strawn's WacoWatch Blog, Danielle Williams Discusses Trends in the Western District of Texas with *Managing IP*

FEBRUARY 16, 2024

SEMINAR/CLE

Winston Hosts 2024 Financial Services Symposium in Charlotte

JANUARY 24, 2024

NEWS

Bank of America Features Partner Kobi Brinson in December Alumni Spotlight

DECEMBER 18, 2023

RECOGNITIONS

Winston Partners Named to *Benchmark Litigation's* 2023 40 & Under List

JULY 31, 2023

CLIENT ALERT

FAQ Resource, by the Bank Receiverships Task Force

ORIGINALLY PUBLISHED MARCH 15, 2023 - CHECK FOR UPDATES

CLIENT ALERT

The 2023 Banking Crisis – Considerations for Companies, Funds and Asset Managers After a Week of Uncertainty

MARCH 17, 2023

CLIENT ALERT

The Future of Small Business Bankruptcies and Creditors' Committees After the SBRA: *In re Bonert and In re Lear Capital*

AUGUST 24, 2022

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Bankruptcy Court Holds That Noteholders' "Sacred Right" Was Not an Anti-Lien Subordination Provision in Permitting Uptier Transaction

AUGUST 10, 2022