



Alan Stevens

Partner

Charlotte
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Alan regularly represents national banks, international corporations, and executives in white collar matters, internal investigations, and complex commercial disputes. He negotiates resolutions of investigations and enforcement matters with numerous government agencies and litigates in federal and state courts across the country.

Alan concentrates his practice on white collar criminal defense, financial services litigation, government investigations, and general commercial litigation. Having practiced in New York at the outset of his career, Alan is now based in Winston's Charlotte, NC office. Alan has represented national and international clients in civil and criminal matters across numerous industries (financial services, media, consumer products, professional services, medical devices, and manufacturing) and subject matters (consumer protection, securities, labor/employment, fraud, contracts, and tax). As the regulatory environment facing financial institutions has evolved and increased in complexity, Alan has also spent substantial time counseling financial institutions on sensitive regulatory issues, including working as an in-house counsel for a global financial institution.

Key Matters

Representative Internal Investigation and Government Enforcement Experience

- Represented a global financial institution in a complex set of enforcement actions and investigations involving the US Department of Justice, prudential regulatory agencies, the Commodity Futures Trading Commission (CFTC), and other entities.
- Represented executives in a high-profile securities investigation by the Securities and Exchange Commission (SEC) and the Department of Justice (DOJ) related to the manipulation of corporate earnings conducted, resulting in no charges filed against clients.
- Represented multiple employees of an international health care company in an investigation conducted by DOJ, resulting in no charges against clients.
- Represented an executive of a national bank in an SEC investigation, resulting in no charges against the client.
- Represented executives in a high-profile securities investigation related to the manipulation of corporate earnings conducted by the SEC and DOJ, resulting in no charges against the clients.
- Represented a national bank in response to State Attorney General inquiries regarding borrower complaints.
- Represented an executive of a mortgage company in an investigation conducted by DOJ and the Department of Housing and Urban Development (HUD), resulting in no charges against the client.

Representative Litigation Experience

- Represented a subsidiary of multi-billion-dollar private equity company in asbestos litigation, resulting in no damages or findings of fault against client.
- Represented a global accounting firm through trial in New Jersey state court on accounting malpractice and other claims, resulting in judgment for client following several appeals.
- Represented an equipment rental company in breach of contract action through trial in Delaware Chancery Court, resulting in obtaining a US\$100M termination fee following dissolution of a pending merger.
- Represented three global financial institutions in False Claims Act (FCA) qui tam action, resulting in dismissal with prejudice.
- Represented a raw material company pursuing breach of contract, fiduciary duty, and unfair and deceptive trade practices claims against former employees, resulting in favorable settlement.
- Represented a global media services company in a federal class action discrimination pursued jointly by private plaintiffs and the Equal Employment Opportunity Commission (EEOC), resulting in summary judgment for the client.
- Represented a national equipment service provider in contract disputes, resulting in favorable pre-litigation resolutions.

Representative Advice/Counseling on Business, Compliance, Risk, and Audit Processes and Controls

- Advised executives of a global financial institution on enhancing compliance and business processes, enhancing customer communications and contracts, customer remediation, and public disclosures.
- Advised a global consumer products company on intellectual property rights and coordinated with government agencies on related intellectual property infringement claims.
- Advised business and legal teams of a multi-billion-dollar business services company on how to minimize litigation and regulatory risk related to vendor contracts and regulatory reporting.

Recognitions

Super Lawyers recognized Alan as a “North Carolina Rising Star” from 2017–2019 and 2021. He is also a 2015 graduate of the Mecklenburg County Bar Leadership Institute.

Activities

Alan served on the Boards of Directors for the Men’s Shelter of Charlotte and Roof Above. He is an active member of the New York Bar, North Carolina Bar, and Mecklenburg County Bar Associations.

Credentials

EDUCATION

Alan received his J.D. from Vanderbilt University Law School in 2007, where he was a member of the National Moot Court team and moot court board, as well as an editor for the *Vanderbilt Journal of Transnational Law*. In 2004, he received a B.A., *cum laude*, in Religion from Davidson College.

ADMISSIONS

- North Carolina
- New York

Related Insights & News

- “Knowing Your Way Around the Rule 26(f) Conference,” *American Bar Association Trial Practice Committee Website*, February 2011.
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SEMINAR/CLE

Winston Hosts 2024 Financial Services Symposium in Charlotte

JANUARY 24, 2024

BLOG

Winston’s Charlotte Office Provides Pro Bono Services to Vulnerable Community Members

OCTOBER 12, 2022

BLOG

National Cryptocurrency Enforcement Team Director Appointed

FEBRUARY 22, 2022

BLOG

Should Companies Be Concerned about the New Guidance from the DOJ for Prosecuting Corporate Crime?
FEBRUARY 15, 2022

WEBINAR

The Biden Administration Turns One – Perspectives from Winston
JANUARY 26, 2022

NEWS

2020-2021 Pro Bono Impact Report
2020-2021

BLOG

Blurred Lines – Navigating a Murky Regulatory Landscape in a Cryptocurrency Boom
DECEMBER 3, 2021

NEWS

Winston Promotes 16 Attorneys to Partner
DECEMBER 22, 2017

PRO BONO IN ACTION

Pro Bono Reporter – Summer 2015
SUMMER 2015

NEWS

Winston Turns the Lights On for Utilities and Puts AGs in the Dark
FEBRUARY 6, 2014

Capabilities

Government Investigations, Enforcement & Compliance

Class Actions & Group Litigation

Commercial Litigation & Disputes

Financial Services Transactions & Regulatory

Antitrust/Competition

Financial Services

Professional Services

Cryptocurrencies, Digital Assets & Blockchain Technology

Artificial Intelligence (AI)