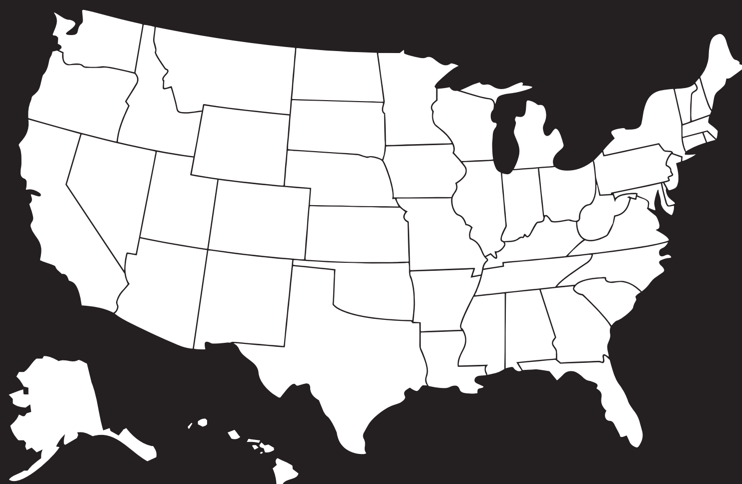
NAMWOLF | COMPLIANCE & INVESTIGATIONS PRACTICE AREA COMMITTEE



Fall 2026

# Directory

Your resource for finding vetted NAMWOLF firms in the right location and with the right skill set.

# COMMITTEE CHAIRS


**Kristopher Keys**

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**Robin H. Rome**

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# The NAMWOLF Compliance & Investigations Practice Area Committee

The Compliance and Investigations Practice Area Committee (PAC) is comprised of law firms and attorneys who have significant experience designing and implementing corporate compliance and ethics programs, as well as conducting internal or government-initiated investigations. The expertise within our members includes, but is not limited to investigating whistleblower complaints, defending qui tam litigation, counseling organizations as they navigate regulatory compliance challenges, advising and preparing companies to make self-disclosure decisions, defending clients in civil and criminal investigations by state and federal agencies (e.g., State Attorneys General, FTC, DOJ, SEC, FINRA, etc.), and investigating employment issues (including allegations of discrimination and policy violations). Our members have covered all aspects of compliance programs, including the development of compliance controls, risk assessments, and interfacing with external monitors. The Compliance and Investigations PAC is a resource for in-house counsel seeking qualified firms to assist them with these sensitive regulatory compliance matters. Members combine the requisite legal knowledge and skills with business acumen to craft client-focused solutions.

NAMWOLF

*Go to PAC page on namwolf.org*

# Search Our Firms by **Location**

## Alabama
CM Law PLLC

## Arizona
CM Law PLLC
Zuber Lawler

## California
Bradford Edwards LLP
CM Law PLLC
DTO Law
Nukk-Freeman & Cerra, P.C.
Quintairos, Prieto, Wood & Boyer, P.A.
Zuber Lawler

## Colorado
CM Law PLLC
León Cosgrove Jiménez, LLP
Zuber Lawler

## Delaware
CM Law PLLC

## District of Columbia
CM Law PLLC

## Florida
CM Law PLLC
Crawford & Associates pllc
León Cosgrove Jiménez, LLP
Martinez-Cid Law
Quintairos, Prieto, Wood & Boyer, P.A.

## Georgia
CM Law PLLC
Health Law Strategists, LLC

## Illinois
CM Law PLLC
Quintairos, Prieto, Wood & Boyer, P.A.
Scharf Banks Marmor LLC
Valentine Austriaco & Bueschel, P.C.
Zuber Lawler

## Kentucky
Quintairos, Prieto, Wood & Boyer, P.A.

## Louisiana
Transcendent Law Group, LLC

## Massachusetts
CM Law PLLC
Quintairos, Prieto, Wood & Boyer, P.A.

## Minnesota
CM Law PLLC
Nilan Johnson Lewis PA

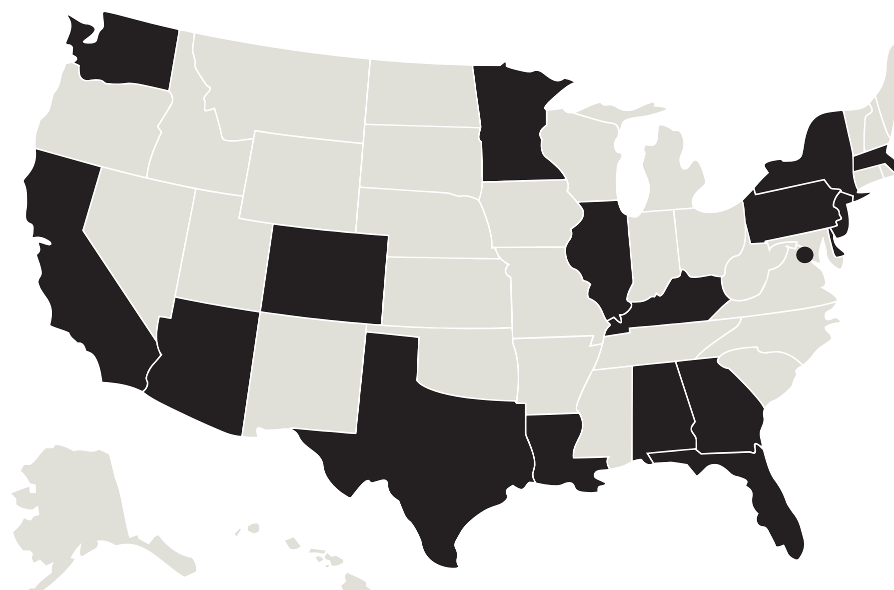
## New Jersey
CM Law PLLC
KSBranigan Law P.C.
Nukk-Freeman & Cerra, P.C.
Walsh Pizzi O'Reilly Falanga LLP

## New York
Bradford Edwards LLP
CM Law PLLC
DTO Law
KSBranigan Law P.C.
León Cosgrove Jiménez, LLP
Nukk-Freeman & Cerra, P.C.
Quintairos, Prieto, Wood & Boyer, P.A.
Walsh Pizzi O'Reilly Falanga LLP
Zuber Lawler

## Pennsylvania
CM Law PLLC
Walsh Pizzi O'Reilly Falanga LLP

## Texas
CM Law PLLC
León Cosgrove Jiménez, LLP
Treaty Oak Employers' Law Group

## Washington
Zuber Lawler



# Search Our Firms by **General Practice Experience**

## COMPLIANCE

### Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)
- CM Law PLLC
- Crawford & Associates pllc
- Health Law Strategists, LLC
- KSBranigan Law P.C.
- León Cosgrove Jiménez, LLP
- Nilan Johnson Lewis PA
- Nukk-Freeman & Cerra, P.C.
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Transcendent Law Group, LLC
- Treaty Oak Employers' Law Group
- Valentine Austriaco & Bueschel, P.C.
- Walsh Pizzi O'Reilly Falanga LLP

### Conflict of Interest
- CM Law PLLC
- Crawford & Associates pllc
- DTO Law
- León Cosgrove Jiménez, LLP
- Martinez-Cid Law
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Treaty Oak Employers' Law Group
- Valentine Austriaco & Bueschel, P.C.
- Walsh Pizzi O'Reilly Falanga LLP

### Corporate Governance/Board of Directors
- Bradford Edwards LLP
- CM Law PLLC
- Crawford & Associates pllc
- DTO Law
- Health Law Strategists, LLC
- León Cosgrove Jiménez, LLP
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Transcendent Law Group, LLC
- Zuber Lawler

### Cyber Security/Cybercrimes
- CM Law PLLC
- DTO Law
- León Cosgrove Jiménez, LLP
- Quintairos, Prieto, Wood & Boyer, P.A.
- Walsh Pizzi O'Reilly Falanga LLP

### Data Privacy/Data Breach Response
- CM Law PLLC
- DTO Law
- León Cosgrove Jiménez, LLP
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Walsh Pizzi O'Reilly Falanga LLP
- Zuber Lawler

### Evaluation of Compliance Programs (including monitoring and auditing)
- CM Law PLLC
- Crawford & Associates pllc
- León Cosgrove Jiménez, LLP
- Martinez-Cid Law
- Nukk-Freeman & Cerra, P.C.
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Treaty Oak Employers' Law Group
- Walsh Pizzi O'Reilly Falanga LLP

### Government Contracting
- DTO Law
- León Cosgrove Jiménez, LLP
- Transcendent Law Group, LLC

### Immigration (I-9 compliance and government investigations by ICE and IER)
- CM Law PLLC
- DTO Law
- León Cosgrove Jiménez, LLP
- Martinez-Cid Law
- Quintairos, Prieto, Wood & Boyer, P.A.
- Transcendent Law Group, LLC

### Outsourced Compliance Function/CCO/Regulatory Support
- CM Law PLLC
- Crawford & Associates pllc
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Zuber Lawler

### Risk Assessment
- CM Law PLLC
- Crawford & Associates pllc
- Health Law Strategists, LLC
- KSBranigan Law P.C.
- Martinez-Cid Law
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Transcendent Law Group, LLC
- Treaty Oak Employers' Law Group
- Valentine Austriaco & Bueschel, P.C.
- Walsh Pizzi O'Reilly Falanga LLP
- Zuber Lawler

# Search Our Firms by **General Practice Experience**

## COMPLIANCE

### State AG Investigations

- Bradford Edwards LLP
- CM Law PLLC
- Crawford & Associates pllc
- DTO Law
- Martinez-Cid Law
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Valentine Austriaco & Bueschel, P.C.

### Other

*Please see Firm Member Chart on page 7 to learn which firms have experience in Compliance practice areas not listed here.*

# Search Our Firms by **General Practice Experience**

## COMPLIANCE **AGENCIES**

### CFTC
- DTO Law
- Quintairos, Prieto, Wood & Boyer, P.A.

### DHS
- León Cosgrove Jiménez, LLP
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC

### DOJ
- Bradford Edwards LLP
- CM Law PLLC
- Martinez-Cid Law

### EEOC
- CM Law PLLC
- DTO Law
- KSBranigan Law P.C.
- León Cosgrove Jiménez, LLP
- Nukk-Freeman & Cerra, P.C.
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Transcendent Law Group, LLC
- Treaty Oak Employers' Law Group
- Valentine Austriaco & Bueschel, P.C.
- Walsh Pizzi O'Reilly Falanga LLP

### EPA
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC

### FAA
- Quintairos, Prieto, Wood & Boyer, P.A.

### FCC
- Quintairos, Prieto, Wood & Boyer, P.A.

### FERC
- Scharf Banks Marmor LLC

### FINRA
- Bradford Edwards LLP
- CM Law PLLC
- DTO Law
- León Cosgrove Jiménez, LLP
- Nukk-Freeman & Cerra, P.C.
- Quintairos, Prieto, Wood & Boyer, P.A.
- Transcendent Law Group, LLC
- Walsh Pizzi O'Reilly Falanga LLP
- Valentine Austriaco & Bueschel, P.C.
- Zuber Lawler

### FTC
- Bradford Edwards LLP
- CM Law PLLC
- DTO Law
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC

### HHS
- DTO Law
- Quintairos, Prieto, Wood & Boyer, P.A.

### SEC
- Bradford Edwards LLP
- CM Law PLLC
- DTO Law
- León Cosgrove Jiménez, LLP
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Zuber Lawler

# Search Our Firms by **General Practice Experience**

## INVESTIGATIONS

### Administrative & Regulatory Actions

- CM Law PLLC
- DTO Law
- Nukk-Freeman & Cerra, P.C.
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Transcendent Law Group, LLC
- Valentine Austriaco & Bueschel, P.C.
- Walsh Pizzi O'Reilly Falanga LLP

### Employee Misconduct

- CM Law PLLC
- Crawford & Associates pllc
- DTO Law
- KSBranigan Law P.C.
- León Cosgrove Jiménez, LLP
- Martinez-Cid Law
- Nukk-Freeman & Cerra, P.C.
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Transcendent Law Group, LLC
- Treaty Oak Employers' Law Group
- Valentine Austriaco & Bueschel, P.C.
- Walsh Pizzi O'Reilly Falanga LLP
- Zuber Lawler

### False Claims Act/Whistleblower

- CM Law PLLC
- DTO Law
- León Cosgrove Jiménez, LLP
- Nukk-Freeman & Cerra, P.C.
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Walsh Pizzi O'Reilly Falanga LLP
- Valentine Austriaco & Bueschel, P.C.

### Government Investigations/White Collar Criminal Defense

- Bradford Edwards LLP
- CM Law PLLC
- Crawford & Associates pllc
- DTO Law
- León Cosgrove Jiménez, LLP
- Martinez-Cid Law
- Nilan Johnson Lewis PA
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Transcendent Law Group, LLC
- Walsh Pizzi O'Reilly Falanga LLP

### Healthcare

- Health Law Strategists, LLC
- León Cosgrove Jiménez, LLP
- Quintairos, Prieto, Wood & Boyer, P.A.
- Walsh Pizzi O'Reilly Falanga LLP
- Zuber Lawler

### Internal Investigations

- Bradford Edwards LLP
- CM Law PLLC
- Crawford & Associates pllc
- DTO Law
- KSBranigan Law P.C.
- León Cosgrove Jiménez, LLP
- Martinez-Cid Law
- Nukk-Freeman & Cerra, P.C.
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Transcendent Law Group, LLC
- Treaty Oak Employers' Law Group
- Valentine Austriaco & Bueschel, P.C.
- Walsh Pizzi O'Reilly Falanga LLP
- Zuber Lawler

### Public Officials & Government Entities

- Bradford Edwards LLP
- DTO Law
- León Cosgrove Jiménez, LLP
- Nukk-Freeman & Cerra, P.C.
- Walsh Pizzi O'Reilly Falanga LLP

### SEC

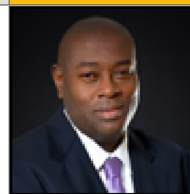
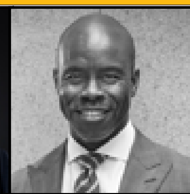
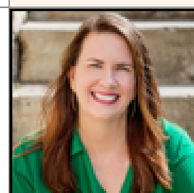
- Bradford Edwards LLP
- CM Law PLLC
- DTO Law
- KSBranigan Law P.C.
- León Cosgrove Jiménez, LLP
- Quintairos, Prieto, Wood & Boyer, P.A.
- Zuber Lawler

### Title IX Investigations

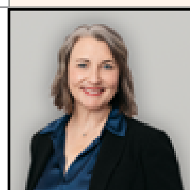
- DTO Law
- León Cosgrove Jiménez, LLP
- Quintairos, Prieto, Wood & Boyer, P.A.
- Scharf Banks Marmor LLC
- Transcendent Law Group, LLC
- Valentine Austriaco & Bueschel, P.C.
- Walsh Pizzi O'Reilly Falanga LLP

### Other

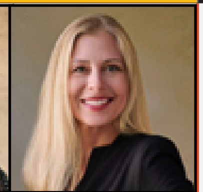
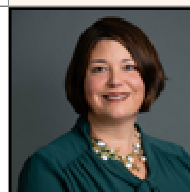
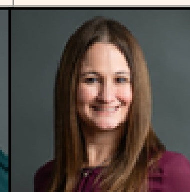
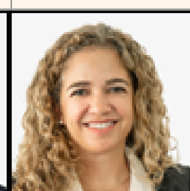
*Please see Firm Member Chart on page 7 to learn which firms have experience in Investigations practice areas not listed here.*

| Firm Name<br>Click Logo to View Profile | Office Locations<br>Physical Office Locations | Firm Contact/s for PAC | General Practice Experience<br>Click on Firm Logo to See Their Profile for More Details | | |
|---|---|---|---|---|---|
| BRADFORD EDWARDS LLP | » Los Angeles, CA<br>» New York, NY 🏢 |  <br>Patrick Bradford *Email*<br>Denver Edwards *Email* | **Compliance**<br>» Corporate Governance/Board of Directors<br>» State AG Investigations<br>» **Other:** Antitrust | **Compliance Agency Experience**<br>» DOJ<br>» FINRA<br>» FTC<br>» SEC | **Investigations**<br>» Government Investigations/ White Collar Criminal Defense<br>» Internal Investigations<br>» Public Officials & Government Entities<br>» SEC |
| CMLaw CLIENT MINDED ADVOCATES | » Atlanta, GA<br>» Austin, TX<br>» Birmingham, AL<br>» Boston, MA<br>» Chicago, IL<br>» Dallas, TX 🏢<br>» Denver, CO<br>» Houston, TX<br>» Miami, FL<br>» Minneapolis, MN<br>» Newark, NJ<br>» New York, NY<br>» Philadelphia, PA<br>» Phoenix, AZ<br>» San Francisco, CA<br>» Washington, DC | <br>Mishell Kneeland *Email* | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» Conflict of Interest<br>» Corporate Governance/Board of Directors<br>» Cyber Security/Cybercrimes<br>» Data Privacy/Data Breach Response<br>» Evaluation of Compliance Programs (including monitoring and auditing)<br>» Immigration (I-9 compliance and government investigations by ICE and IER)<br>» Outsourced Compliance Function/ CCO/Regulatory Support<br>» Risk Assessment<br>» State AG Investigations | **Compliance Agency Experience**<br>» DOJ<br>» EEOC<br>» FINRA<br>» FTC<br>» SEC | **Investigations**<br>» Administrative & Regulatory Actions<br>» Employee Misconduct<br>» False Claims Act/Whistleblower<br>» Government Investigations/ White Collar Criminal Defense<br>» Internal Investigations<br>» SEC<br>» **Other:** Government contracting; FTC |

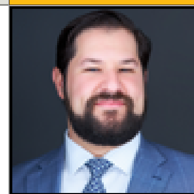
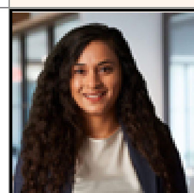
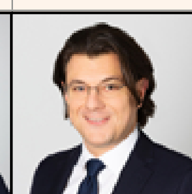
🏢 Indicates firm's primary office location.

| Firm Name<br>Click Logo to View Profile | Office Locations<br>Physical Office Locations | Firm Contact/s for PAC | | General Practice Experience<br>Click on Firm Logo to See Their Profile for More Details | | |
|---|---|---|---|---|---|---|
| Crawford & Associates pllc | » Miami, FL 🏢 | <br>Angela Crawford<br>*Email* | | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» Conflict of Interest<br>» Corporate Governance/Board of Directors<br>» Evaluation of Compliance Programs (including monitoring and auditing)<br>» Outsourced Compliance Function/ CCO/Regulatory Support<br>» Risk Assessment<br>» State AG Investigations | **Compliance Agency Experience**<br>» n/a | **Investigations**<br>» Employee Misconduct<br>» Government Investigations/ White Collar Criminal Defense<br>» Internal Investigations |
| DTO LAW | » Los Angeles, CA 🏢<br>» New York, NY<br>» Silicon Valley, CA | <br>Alison Kehner<br>*Email* | | **Compliance**<br>» Conflict of Interest<br>» Corporate Governance/Board of Directors<br>» Cyber Security/Cybercrimes<br>» Data Privacy/Data Breach Response<br>» Government Contracting<br>» Immigration (I-9 compliance and government investigations by ICE and IER)<br>» State AG Investigations<br>» **Other:** Risk Assessment for SEC-regulated entities, accounting professionals, and attorneys | **Compliance Agency Experience**<br>» CFTC<br>» EEOC<br>» FINRA<br>» FTC<br>» HHS<br>» SEC | **Investigations**<br>» Administrative & Regulatory Actions<br>» Employee Misconduct<br>» False Claims Act/Whistleblower<br>» Government Investigations/ White Collar Criminal Defense<br>» Internal Investigations<br>» Public Officials & Government Entities<br>» SEC<br>» Title IX Investigations |

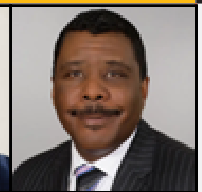
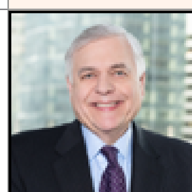
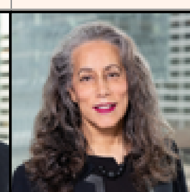
🏢 Indicates firm's primary office location.

| Firm Name<br>Click Logo to View Profile | Office Locations<br>Physical Office Locations | Firm Contact/s for PAC | | General Practice Experience<br>Click on Firm Logo to See Their Profile for More Details | | |
|---|---|---|---|---|---|---|
| Health Law Strategists. | » Atlanta, GA 🏢 | <br>Rachel King<br>*Email* | <br>Kathlynn Butler<br>*Email* | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» Corporate Governance/Board of Directors<br>» Risk Assessment<br>» **Other:** Healthcare Regulatory Compliance (AKS, FCA, Stark) | **Compliance Agency Experience**<br>» n/a | **Investigations**<br>» Healthcare |
| KSB KSBranigan Law P.C. A Woman-Owned Law Firm | » Montclair, NJ 🏢<br>» New York, NY | <br>Kirsten Branigan<br>*Email* | <br>Beth Zoller<br>*Email* | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» Risk Assessment<br>» **Other:** Pay Equity & DEI Compliance Audits | **Compliance Agency Experience**<br>» EEOC | **Investigations**<br>» Employee Misconduct<br>» Internal Investigations<br>» Title IX Investigations<br>» **Other:** Investigation Training & Expert Witness |
| León Cosgrove<br>León Cosgrove Jiménez, LLP | » Austin, TX<br>» Denver, CO<br>» Houston, TX<br>» Miami, FL 🏢<br>» New York, NY | <br>Marcos D. Jimenez<br>*Email* | <br>Cristina Moreno<br>*Email* | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» Conflict of Interest<br>» Cyber Security/Cybercrimes<br>» Corporate Governance/Board of Directors<br>» Data Privacy/Data Breach Response<br>» Evaluation of Compliance Programs (including monitoring and auditing)<br>» Government Contracting<br>» Immigration (I-9 compliance and government investigations by ICE and IER) | **Compliance Agency Experience**<br>» DHS<br>» EEOC<br>» FINRA<br>» SEC | **Investigations**<br>» Employee Misconduct<br>» False Claims Act/Whistleblower<br>» Government Investigations/ White Collar Criminal Defense<br>» Healthcare<br>» Internal Investigations<br>» Public Officials & Government Entities<br>» SEC<br>» Title IX Investigations |

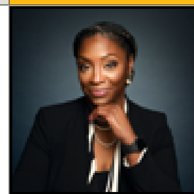
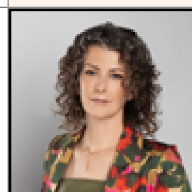
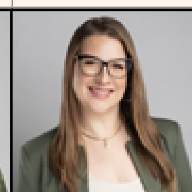
🏢 Indicates firm's primary office location.

| Firm Name<br>Click Logo to View Profile | Office Locations<br>Physical Office Locations | Firm Contact/s for PAC | General Practice Experience<br>Click on Firm Logo to See Their Profile for More Details | | |
|---|---|---|---|---|---|
| MARTINEZ-CID LAW | » Miami, FL 🏢 | <br>Jordi Martinez-Cid<br>*Email* | **Compliance**<br>» Conflict of Interest<br>» Evaluation of Compliance Programs (including monitoring and auditing)<br>» Immigration (I-9 compliance and government investigations by ICE and IER)<br>» Risk Assessment<br>» State AG Investigations | **Compliance Agency Experience**<br>» DOJ | **Investigations**<br>» Employee Misconduct<br>» Government Investigations/ White Collar Criminal Defense<br>» Internal Investigations |
| NILAN JOHNSON LEWIS | » Minneapolis, MN 🏢 | <br>Anu Jaswal<br>*Email* | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» **Other:** I-9 compliance | **Compliance Agency Experience**<br>» n/a | **Investigations**<br>» Government Investigations/ White Collar Criminal Defense<br>» **Other:** Government investigations by IER and ICE |
| NUKK-FREEMAN & CERRA, P.C. EMPLOYMENT ATTORNEYS | » Chatham, NJ 🏢<br>» New York, NY<br>» San Diego, CA<br>» San Francisco, CA | <br>Robin H. Rome<br>*Email*<br><br>Phill Lipari<br>*Email* | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» Evaluation of Compliance Programs (including monitoring and auditing)<br>» **Other:** AI and Employment Practices | **Compliance Agency Experience**<br>» EEOC<br>» FINRA | **Investigations**<br>» Administrative & Regulatory Actions<br>» Employee Misconduct<br>» False Claims Act/Whistleblower<br>» Internal Investigations<br>» Public Officials & Government Entities<br>» **Other:** AI Compliance<br>» **Other:** Training and/or Evaluation of Investigation Practices/Audit |

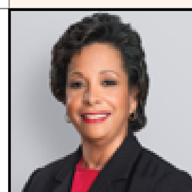
🏢 Indicates firm's primary office location.

| Firm Name<br>Click Logo to View Profile | Office Locations<br>Physical Office Locations | Firm Contact/s for PAC | | General Practice Experience<br>Click on Firm Logo to See Their Profile for More Details | | |
|---|---|---|---|---|---|---|
| QPWB<br>QUINTAIROS, PRIETO, WOOD & BOYER P.A. | » Boston, MA<br>» Chicago, IL<br>» Lexington, KY<br>» Los Angeles, CA<br>» Miami, FL 🏢<br>» New York, NY | <br>Kristopher Keys<br>*Email* | <br>Anthony Schumann<br>*Email* | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» Conflict of Interest<br>» Corporate Governance/Board of Directors<br>» Cyber Security/Cybercrimes<br>» Data Privacy/Data Breach Response<br>» Evaluation of Compliance Programs (including monitoring and auditing)<br>» Immigration (I-9 compliance and government investigations by ICE and IER)<br>» Outsourced Compliance Function/ CCO/Regulatory Support<br>» Risk Assessment<br>» State AG Investigations | **Compliance Agency Experience**<br>» CFTC<br>» DHS<br>» EEOC<br>» FAA<br>» FCC<br>» FINRA<br>» FTC<br>» HHS<br>» SEC | **Investigations**<br>» Administrative & Regulatory Actions<br>» Employee Misconduct<br>» False Claims Act/Whistleblower<br>» Government Investigations/ White Collar Criminal Defense<br>» Healthcare<br>» Internal Investigations<br>» SEC<br>» Title IX Investigations |
| SCHARF BANKS MARMOR LLC | » Chicago, IL 🏢 | <br>Ted Banks<br>*Email* | <br>Rebecca Ford<br>*Email* | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» Conflict of Interest<br>» Corporate Governance/Board of Directors<br>» Data Privacy/Data Breach Response<br>» Evaluation of Compliance Programs (including monitoring and auditing)<br>» Outsourced Compliance Function/ CCO/Regulatory Support<br>» Risk Assessment<br>» State AG Investigations | **Compliance Agency Experience**<br>» DHS<br>» EEOC<br>» EPA<br>» FERC<br>» FTC<br>» SEC | **Investigations**<br>» Administrative & Regulatory Actions<br>» Employee Misconduct<br>» False Claims Act/Whistleblower<br>» Government Investigations/ White Collar Criminal Defense<br>» Internal Investigations<br>» Title IX Investigations |

🏢 Indicates firm's primary office location.

| Firm Name<br>Click Logo to View Profile | Office Locations<br>Physical Office Locations | Firm Contact/s for PAC | | General Practice Experience<br>Click on Firm Logo to See Their Profile for More Details | | |
|---|---|---|---|---|---|---|
| TRANSCENDENT LAW GROUP | » New Orleans, LA 🏢 | <br>Michelle Craig<br>*Email* | | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» Corporate Governance/Board of Directors<br>» Government Contracting<br>» Immigration (I-9 compliance and government investigations by ICE and IER)<br>» Risk Assessment | **Compliance Agency Experience**<br>» EEOC<br>» FINRA | **Investigations**<br>» Administrative & Regulatory Actions<br>» Employee Misconduct<br>» Government Investigations/ White Collar Criminal Defense<br>» Internal Investigations<br>» Title IX Investigations |
| TREATY OAK EMPLOYERS' LAW GROUP | » Austin, TX 🏢 | <br>Natalie Lynch<br>*Email* | <br>Lindsey Lee<br>*Email* | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» Conflict of Interest<br>» Evaluation of Compliance Programs (including monitoring and auditing)<br>» Risk Assessment<br>» **Other:** Title VII Risk Audits:Wage Equity Audits:Culture Audits | **Compliance Agency Experience**<br>» EEOC | **Investigations**<br>» Employee Misconduct<br>» Internal Investigations<br>» **Other:** Title VII Investigations: Workplace Violence |
| vab VALENTINE AUSTRIACO & BUESCHEL P.C. | » Chicago, IL 🏢 | <br>Reena Sikdar<br>*Email* | | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» Conflict of Interest<br>» Risk Assessment<br>» State AG Investigations | **Compliance Agency Experience**<br>» EEOC<br>» FINRA | **Investigations**<br>» Administrative & Regulatory Actions<br>» Employee Misconduct<br>» False Claims Act/Whistleblower<br>» Internal Investigations<br>» Title IX Investigations |

🏢 Indicates firm's primary office location.

| Firm Name<br>Click Logo to View Profile | Office Locations<br>Physical Office Locations | Firm Contact/s for PAC | General Practice Experience<br>Click on Firm Logo to See Their Profile for More Details |
|---|---|---|---|
| WALSH PIZZI O'REILLY FALANGA | » Newark, NJ<br>» New York, NY<br>» Philadelphia, PA | <br>Mariel Belanger<br>*Email*<br><br>Caitlin Cascino<br>*Email* | **Compliance**<br>» Compliance Program Development (training, policies, employee reporting, code of conduct, reporting to management)<br>» Conflict of Interest<br>» Cyber Security/Cybercrimes<br>» Data Privacy/Data Breach Response<br>» Evaluation of Compliance Programs (including monitoring and auditing)<br>» Risk Assessment<br>**Compliance Agency Experience**<br>» EEOC<br>» FINRA<br>**Investigations**<br>» Administrative & Regulatory Actions<br>» Employee Misconduct<br>» False Claims Act/Whistleblower<br>» Government Investigations/ White Collar Criminal Defense<br>» Healthcare<br>» Internal Investigations<br>» Public Officials & Government Entities<br>» Title IX Investigations |
| ZUBER LAWLER | » Chicago, IL<br>» Denver, CO<br>» Los Angeles, CA<br>» New York, NY<br>» Phoenix, AZ<br>» Seattle, WA | <br>Eileen Letts<br>*Email* | **Compliance**<br>» Corporate Governance/Board of Directors<br>» Data Privacy/Data Breach Response<br>» Outsourced Compliance Function/ CCO/Regulatory Support<br>» Risk Assessment<br>**Compliance Agency Experience**<br>» FINRA<br>» SEC<br>**Investigations**<br>» Employee Misconduct<br>» Healthcare<br>» Internal Investigations<br>» SEC |

Indicates firm's primary office location.

# Compliance & Investigations

**CM Law** is the largest national, full-service, women-owned & managed law firm in the U.S. Our nearly 70 attorneys bring an average practice experience of more than 20 years. Our Regulatory, Compliance & Investigations team helps companies, boards, and leadership teams navigate complex regulatory frameworks, build resilient compliance programs, and respond decisively when government inquiries or enforcement actions arise.

Our all-partner team brings decades of senior government, in-house, and law firm experience to every engagement—delivering strategic, hands-on counsel grounded in real-world perspective. This allows us to serve as trusted advisors who understand both the legal landscape and the business pressures our clients face. Whether a client needs a comprehensive compliance program overha ul, defense in a government investigation, or practical guidance on emerging regulatory challenges, we deliver integrated, cost-effective strategies tailored to each client's industry, risk profile, and operational footprint.

## WHY CHOOSE OUR REGULATORY, COMPLIANCE & INVESTIGATIONS TEAM?

- **We know the regulatory landscape because we have worked in it.** Our team brings decades of experience from senior government positions, in-house legal departments, and leading law firms, allowing us to help clients navigate complex regulatory challenges with confidence. Whether advising on compliance obligations, responding to government inquiries, or defending enforcement actions, we provide practical, business-focused counsel grounded in real-world experience.
- **We are frequently called upon to step into sensitive matters on an expedited basis, including government investigations, regulatory examinations, internal investigations, and crisis situations.** Our experience allows us to work effectively with boards, executives, compliance professionals, and regulators to develop strategic solutions that protect our clients while advancing their business objectives.
- **Our know-how makes us quick on our feet and able to adapt to rapidly changing regulatory environments.** The significant experience our attorneys bring to the table is unparalleled, enabling us to address issues ranging from regulatory counseling and compliance program design to white collar defense, crisis management, transactional due diligence, and emerging technologies.
- **We offer business-savvy solutions that only seasoned professionals can provide.** This allows us to act as facilitators – not "roadblocks" – to your business objectives, moving the dispute quickly from claim to settlement through our broad experience and expertise in alternative dispute resolution processes.
- **Our competitive fees are unmatched by similarly-experienced partners at traditional law firms.** Our billing rates for our partners are usually equal to or lower than those charged by large firms for their junior associates.
- **Our lawyers place a premium on relationships.** We learn your business so we can represent your interests seamlessly as an extension of your organization.

- ATLANTA
- AUSTIN
- BIRMINGHAM
- BOSTON
- CHICAGO
- DALLAS
- DENVER
- HOUSTON
- MIAMI
- MINNEAPOLIS
- NEW JERSEY
- NEW YORK
- PHILADELPHIA
- PHOENIX
- SAN FRANCISCO
- WASHINGTON, DC

## Our Regulatory, Compliance & Investigations attorneys counsel clients on matters including:

- Regulatory Counseling & Advocacy
- Compliance Program Design & Corporate Governance
- Regulatory Examination Preparation & Support
- Government and Internal Investigations & White Collar Defense
- Crisis Management & Reputational Risk
- Transactional Due Diligence
- Digital Assets & Emerging Technology

# Crawford & Associates pllc

## A Corporate Compliance & Investigations Boutique Law Firm

## Corporate Ethics & Compliance

We assist clients with developing and enhancing the key components of an effective ethics and compliance program. We regularly work with clients on all aspects of operational compliance, including conducting global risk assessments and audits, drafting and uplifting policies and procedures, developing and delivering training, implementing compliance platforms and processes, and advising clients on AI governance and risk management.

We invest time at the outset of each engagement to understand our clients' business, brand, and culture, and to help clients leverage their internal resources and enhance their existing compliance framework to resolve compliance challenges efficiently and effectively.

## Investigations

We have helped organizations and individuals around the world address some of their most pressing legal and regulatory concerns. We are adept at conducting privileged investigations that are appropriate in approach, scope, and scale, and fee transparent. Our experience includes investigating allegations of workplace misconduct, harassment and discrimination, bribery and corruption, fraud, third party misconduct, policy and regulatory violations, and whistleblower complaints.

We have a deep understanding of the challenges in-house counsel face in managing their budgets and resources, triaging investigations, and handling investigations from report to case closure and remediation. We regularly help our clients develop protocols, processes, and solutions for managing their investigations docket and training their investigations teams.

## About Us:

At Crawford & Associates, we combine our decades of experience representing clients in multiple legal settings and jurisdictions with our client-centric forward-thinking, and collaborative approach.

Having collectively worked for some of the world's most elite global law firms, and as a federal prosecutor, we see value in offering our clients an alternative to the traditional law firm model.

We are a member of the National Association of Minority & Women Owned Law Firms ("NAMWOLF") and a certified Women's Business Enterprise through the Women's Business Enterprise National Council ("WBENC"). In addition, we have been recognized by Chambers and Partners as one of the top boutique Corporate Compliance law firms in Florida.

## Our Clients:

We advise public and private global and U.S. organizations in a variety of industries, including life sciences, retail and apparel, food and beverage, manufacturing, energy, and software and technology.

## Our Firm:

**Angela Crawford**
Managing Member

**Carol Pang & Samantha Sosa**
Associates

**Kimberly Towlun**
Legal Operations/Paralegal

SBA U.S. Small Business Administration
WOSB CERTIFIED

Chambers Spotlight FL 2026
Crawford & Associates pllc

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certified WBENC
WOMEN'S BUSINESS ENTERPRISE

NAMWOLF
LAW FIRM MEMBER

# DTO Law

## Litigation Practice Area Group

## Compliance & Government Investigations

DTO LAW

*"Our strategy is straightforward: We need to get your business the "win" you want as quickly as possible."*

**WILLIAM A. DELGADO**
Managing Partner

DTO Law is an elite boutique law firm founded by former Big Law attorneys with offices in Los Angeles, Silicon Valley, and New York, although our litigators handle cases across the United States. We offer a team of exceptional litigators from diverse backgrounds whose credentials and experience rival those of any competitor, whether they be Big Law or boutique.

As our firm continues to increase in size, so too has our roster of clients. Our clients' litigation needs are wide-ranging, and our attorneys are well-positioned to address them due to their many years of experience handling challenging complex litigation in state and federal court, as well as arbitrations. DTO attorneys possess criminal and civil experience, and our lawyers have successfully handled cases at all stages of litigation, from pre-suit investigations through pre-trial settlements, trials, and appeals.

LOS ANGELES | SILICON VALLEY | NEW YORK

## Compliance & Government Investigations

**Alison D. Kehner**

Partner

Alison Kehner, a former AUSA and Counsel to the United States Attorney, leads DTO's Compliance & Government Investigations practice group. Drawing on her big-firm and government experience handling complex white-collar fraud cases, Alison represents individuals and companies in internal or government investigations, related civil and administrative proceedings, and fiduciary litigation. Alison also leverages her prior work in higher education and as a sex crimes prosecutor in her work representing clients in Title IX matters.

Alison has litigated cases at every stage, including initial grand jury proceedings, pre-suit negotiations, trials, and appeals. Alison is an experienced trial and appellate lawyer with a strong track record in matters involving financial crimes, fraud, and data security, privacy, and identity theft.

During her time with the Department of Justice, Alison led investigative teams with agents from the Securities and Exchange Commission (SEC), Federal Bureau of Investigation (FBI), Internal Revenue Service (IRS), Department of Health and Human Services Office of the Inspector General (HHS-OIG), Drug Enforcement Administration (DEA), Department of Homeland Security (including HSI and CBP) and other federal law enforcement agencies, as well as state authorities.

Alison is a creative and analytical thinker who leverages her experience, battle-tested judgment, and law enforcement relationships to solve complex legal issues.

## Partners in growth.

More than lawyers, at Health Law Strategists (HLS) we are strategists, advisors + collaborative partners. Beyond essential healthcare law services, our comprehensive approach delivers creative solutions and greater opportunities for healthcare companies looking to grow.

# Health Regulatory + Compliance

Healthcare entities navigate complex state and federal laws and regulations on a daily basis. We represent national and regional multi-hospital health systems, sole community providers, integrated payor/provider systems, hospital-physician joint ventures, urgent care centers, physician practices, ambulatory surgery centers, imaging centers, nursing homes, home health providers, hospice, and other specialty providers with their regulatory and transactional needs. Our integrated regulatory services include mergers and acquisitions, investor-physician and hospital-physician strategic alignments and joint ventures, co-development arrangements, management services arrangements, physician contracting and affiliations, corporate compliance, as well as compliance programs, audits, investigations.

We have decades of experience in all key regulatory areas of healthcare, including federal and state anti-kickback and self-referral laws, Medicare and Medicaid reimbursement, the 340B drug-pricing program, patient data privacy and security (including HIPAA, HITECH, and state privacy considerations), state corporate practice of medicine and fee-splitting, state facility licensure, Certificates of Need (CON), and state and federal self-disclosure protocols. These and other laws, regulations, agency guidelines, advisory opinions, manuals, and court decisions impact ongoing operations as well as the timing, structure, and risk of strategic transactions and business opportunities and we can help you navigate them.

# Mergers, Acquisitions + Alliances

We help our clients determine the optimal structure of strategic transactions, joint venture arrangements, and other affiliations. Beforehand, we provide legal and regulatory advice to help our clients evaluate all their options to achieve desired goals and understand the legal and regulatory issues involved. We work with the business team to negotiate and prepare straightforward, strong, definitive agreements that minimize risk. We help clients that pursue consolidation as well as those seeking other means of collaboration, alignment, innovation, and improving quality of care, efficiencies, and cost savings. Unlike many M&A attorneys, we also assist our clients with post-closing operations, including transitional services agreements, management agreements, and required notices. Our integrated transactional and regulatory approach is designed to find a way to YES, in which our team helps move the transaction forward and succeed beyond the closing.

# Digital Health

As healthcare evolves and care shifts into homes, we help digital health and technology–enabled services companies, including telehealth platforms, health IT applications, mobile health providers, and related service companies, set up and conduct operations in accordance with state and federal laws and regulations—including privacy and security requirements. We also help our clients navigate reimbursement hurdles and structure and negotiate strategic partnerships with health systems and other healthcare entities.

# Outside General Counsel

We serve as outside general counsel for established and emerging healthcare companies. For established companies, we structure our services to optimally support ongoing operations and strategic plans. For emerging companies, we tailor our services and fees to support our clients' changing needs as they build, grow, and scale. We provide counsel on applicable legal requirements and help build connections with fellow entrepreneurs, investors, specialty business advisors, and others. We have experience on the inside and understand the needs and demands of early-stage companies. For clients with in-house capabilities, we provide focused, seamless guidance to supplement available expertise.

KSBRANIGAN LAW P.C.
A WOMAN-OWNED LAW FIRM

**Employment Law Compliance, Prevention & Remediation**

**Alternative Dispute Resolution**

Culture Assessments & Audits
Workplace Investigations & Training
Mediation, Arbitration & Expert Opinions

## ABOUT OUR FIRM

At KSBranigan Law P.C., we serve as trusted advisors in challenging workplace matters when sound judgment and experience matter most. Often called upon to handle high-stakes matters, we bring a breadth and depth of unique skills both as neutrals — workplace investigators, arbitrators, and mediators — and as attorneys, trainers, and expert witnesses. These distinct roles provide us with a comprehensive perspective on workplace conflicts allowing us to identify risks, uncover root causes, and develop practical, effective solutions.

## PREVENT. EDUCATE. REMEDIATE. RESOLVE. SUPPORT.™

We **PREVENT** workplace disputes before they escalate by helping organizations identify legal, cultural, and operational risks through proactive training, culture assessments, equal pay audits, and strategic guidance on employment policies and practices.

We **EDUCATE** workforces through interactive training with attorney-trainers who leverage years of employment law experience to provide both legal and practical guidance on over 40 topics, from fundamental to advanced programs and timely leadership discussions.

We **REMEDIATE** workplace issues through independent investigations by skilled attorney investigators, coupled with post-investigation services designed to resolve conflict, restore trust, and reduce organizational risk.

We **RESOLVE** employment disputes as skilled mediators and manage complex matters as arbitrators, leveraging our unique perspective from representing both employers and employees to help parties reach effective outcomes.

We **SUPPORT** outside and in-house employment counsel and their clients in litigation matters with expert witness services on the efficacy of workplace investigations, training, policies, and practices.

## SPOTLIGHTED TRAININGS

***HR on Trial: Conducting Effective Investigations:*** Our signature, decades-in-the-making training enhances the skills of internal investigation teams.

***Managing a Multigenerational Workforce:*** An innovative program aimed at bridging generational gaps and building high-performing teams.

***Navigating Neurodiversity and Mental Health:*** As awareness evolves, a timely program on understanding and accommodating employees' unique needs.

## ADDED VALUE

- Big-law caliber quality and boutique service at cost-effective rates
- Bilingual investigation and training services available(English/Spanish)
- Former employment litigators who leverage decades of experience
- ADR neutral, investigation, training, and expert services available nationwide
- C-Suite and complex matter experience
- Engaging trainers with academic experience
- Legal services in both New Jersey and New York

## REPRESENTATIVE CLIENTS

- Fortune 500 Medical Technology Company
- Worldwide Engineering & Design Consultancy Firm
- Leading International Real Estate Services Company
- Global Medical Device Manufacturer
- Regional Not-for-Profit Health Care Network
- U.S. Subsidiary of Global 500 Cosmetics Company

Signature Investigation Training: HR on TRIAL™

*Kirsten.Branigan@KSBraniganLaw.com or (973) 542-8096*

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**PREVENT. EDUCATE. REMEDIATE. RESOLVE. SUPPORT.™**

Montclair, NJ | **KSBraniganLaw.com** | New York, NY

NAMWOLF LAW FIRM MEMBER

LEÓN COSGROVE

LEÓN COSGROVE JIMÉNEZ, LLP

AUSTIN | DENVER | HOUSTON | MIAMI | NEW YORK

(305) 740-1975

LEONCOSGROVE.COM

## ABOUT LEÓN COSGROVE JIMÉNEZ, LLP

León Cosgrove Jiménez, LLP is a litigation boutique, drawing its talent from the ranks of top-tier, Am Law 100 firms. Our attorneys have experience in a wide range of commercial litigation matters. We are experts in various areas of the law, including:

### FINANCIAL SERVICES LITIGATION

Our lawyers handle lender liability cases, loan participant suits, disputes related to letters of credit and commercial paper, foreclosure actions, and loan fraud matters. We've secured judgments exceeding $400 million for clients in financial disputes, defending major financial institutions across 200+ U.S. jurisdictions.

### BANKRUPTCY

Representing a range of clients, including financial institutions, creditors, troubled companies, and committees, we navigate actions involving preferential transfers, financial fraud, Ponzi schemes, fiduciary breaches, and insolvency. Our experience extends to both plaintiff and defendant roles.

### BROKER DEALER AND INVESTMENT LITIGATION AND ARBITRATION

Handling numerous disputes for major U.S. financial institutions, we address customer and intra-industry issues. Our cases cover allegations of suitability, misrepresentation, fraud, unauthorized trading, churning, product failures, and other aspects of investment practices.

### COMMERCIAL LITIGATION

Recognized leaders in commercial litigation, we represent clients in diverse cases involving breach of contract, fraud, tortious interference, RICO, and other commercial actions in state and federal courts nationwide.

### INTERNAL AND GOVERNMENT INVESTIGATIONS

Proficient in internal and government investigations, we create corporate compliance programs and represent clients in enforcement matters related to price-fixing, bid-rigging, accounting improprieties, insider trading, healthcare fraud, and FCPA violations.

### INTERNATIONAL DISPUTE RESOLUTION

Our expertise encompasses cross-border business litigation in U.S. courts and disputes resolved through arbitration (ICC, ICDR, AAA, and ICSID).

### WHITE-COLLAR DEFENSE

With a team that includes a former U.S. Attorney and other seasoned federal prosecutors, we regularly defend a wide range of clients in white-collar cases across the country.

### EMPLOYMENT LITIGATION

Our attorneys have successfully represented clients in labor and employment-related matters including class and collective actions, arbitrations, mediations, and single-plaintiff disputes in venues across the country.

### PROFESSIONAL LIABILITY CLAIMS

Our attorneys have successfully represented clients in professional liability matters, including malpractice, negligence, and breach of fiduciary duty claims. We have defended cases for law firms, accounting firms, financial advisors, insurance brokers, healthcare professionals, and other licensed professionals in courts and arbitrations nationwide.

MARTINEZ-CID LAW

# Unwavering advocacy for exceptional outcomes.

Complex Commercial Litigation
Securities Litigation
Internal and Government Investigations
International Dispute Resolution
Class Actions
Media and Entertainment Law
Appeals and Appellate Support

(305) 998-3093
contact@martinez-cidlaw.com
martinez-cidlaw.com

# NILAN JOHNSON LEWIS PA

## ABOUT NILAN JOHNSON LEWIS

Nilan Johnson Lewis (NJL) is an innovative, independent, women-owned law firm that is a first choice for organizations across the country seeking deep expertise to solve their complex business challenges and disputes. The firm's status as one of the largest women-owned law firms nationwide reflects NJL's longstanding commitment to fostering a diverse and inclusive workplace. We believe we deliver exceptional results precisely because we celebrate and advance the diversity of our team and clients.

### AREAS OF PRACTICE

The firm has expertise in five areas of law: business litigation, corporate and transactional services, health care, labor and employment, and product liability/complex torts litigation.

### CLIENTS AND INDUSTRIES

NJL is located in downtown Minneapolis, but our reach is national in scope. We represent Fortune 500 and multi-national companies across many industries, including retail, health care, technology, finance, insurance, industrial/manufacturing, professional sports, micromobility, logistics, transportation, nonprofits, foundations, and higher education.

### DIVERSITY, EQUITY, AND INCLUSION

DEI is a founding core value of NJL. We promote diversity to remove barriers to individual achievement, cultivate each individual professional's talents, and develop and maintain an environment that encourages openness, creativity, and innovative problem-solving. We have robust DEI initiatives tied directly to our firm's strategic plan.

### COMMUNITY RECOGNITION

- NJL has been awarded three Hennepin County Bar Association diversity awards since 2004, the most for any law firm in Minnesota.
- NJL is the only legal services provider to win the Minnesota Women Lawyers Leadership Award three times.
- NJL has been ranked among the top 10 law firms—five times in the past seven years—on Law360's list for female attorneys among firms that have 100 or fewer attorneys (Glass Ceiling Report, Best Law Firms for Female Attorneys).

**250 Marquette Avenue South, Suite 800**
**Minneapolis, MN 55401**
**Phone: 612.305.7500**
**Fax: 612.305.7501**

NILANJOHNSON.COM

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# PROTECTING YOUR PEOPLE. PRESERVING YOUR CULTURE.

NUKK-FREEMAN & CERRA, P.C.
EMPLOYMENT ATTORNEYS

WORKPLACE INVESTIGATIONS

**NFC's Investigations Practice Group: Expert, Efficient, and Compliant Solutions**
Conducting prompt, thorough, and confidential investigations into internal complaints of discrimination, harassment, retaliation, or other workplace concerns requires exceptional skill and discretion. NFC's Investigations Practice Group (IPG) delivers turnkey investigation services designed to mitigate legal risk and support organizational integrity.

**A Proven, Tailored Investigation Process**
Timely response and investigative quality are critical. IPG's established, customizable process ensures every matter is handled thoroughly and in compliance with internal policies and applicable laws. Depending on the scope, the process may include:

- Intake and assessment
- Policy review
- Investigation planning
- Document review
- Witness and party interviews
- Verbal summary of findings
- Comprehensive written report
- Training & evaluation of investigation practices/audits

This structured approach enables us to act swiftly and thoroughly while adapting to each client's unique needs.

**Experienced, Adaptable Attorney-Investigators**
Each investigation presents unique challenges. Our team includes Partners, Counsel, and Associates with deep experience in workplace investigations – some with over 20 years of practice, others with in-house or bilingual capabilities. This allows flexible staffing aligned with each matter's complexity and sensitivity.

NFC's IPG attorney-investigators bring not only legal acumen but also a strong sense of objectivity and professionalism. We handle every investigation with care, ensuring outcomes that are clear, defensible, and aligned with best practices.

QPWB | QUINTAIROS, PRIETO, WOOD & BOYER, P.A.

it's all about **DIFFERENT**®
because we understand Different wins for you.

# A **DIFFERENT** Approach To Corporate Law with QPWB's BUSINESS RISK DIVISION

QPWB's specalized Business Risk Division helps clients **DEVELOP** sustainable compliance programs, **CONDUCT** internal investigations, **MITIGATE** business risks and **RESPOND** effectively to possible enforcement actions, government investigations, and lawsuits.

## PREVENT
Avoid investigations and enforcement actions with detailed **GOVERNANCE**. Develop and refinine programs, education, culture, and design safeguards.

## CONTAIN
Maintain **COMPLIANCE** programs to help clients manage and foresee any potential audits, investigations and enforcement actions.

## MITIGATE
Conduct thorough **INVESTIGATIONS** to root out potential internal problems and conduct due diligence while managing risks in enterprise and reputation.

## REMEDIATE
Act fast to respond to compliance concerns, government Investigations, and **ENFORCEMENT** actions when they occur, whether regulatory, civil or criminal.

## We Are **Fluent** in Government and its Alphabet.

Whether you're facing **ATF, CMS, DEA, DOH, DOL, EEOC, EPA, FAA, FBI, FDA, FTC, SEC, DOH, AHCA**, or other government agencies, our attorneys have garnered a unique understanding of the vast array of challenges facing our clients.

## Your **Partner** in Internal Corporate Investigations.

Our attorneys work with you at every stage including federal and state grand jury investigations, trials and appeals and before administrative tribunals, in arbitration and other dispute resolution proceedings.

Always at your side, we advise and defend corporations, directors, officers and employees in government investigations and white-collar criminal prosecutions in various industries.

We are experienced in handling allegations involving fraud, privacy issues, securities, accounting, regulatory and licensing matters. Our representation also includes shareholder derivative actions and matters related to corporate governance.

# **Experience.** Where it Matters Most.

## QPWB professionals have worked in the various industries we now serve.

Our teams include vastly experienced attorneys and staff, with deep and varied industry expertise. Our attorneys have served as former federal and state prosecutors, government counsel, military service members, industry insiders, first chair trial lawyers, public defenders, criminal and white-collar defense attorneys, regulatory enforcement attorneys, and senior in-house counsel for heavily regulated industries.

## The Industries We Represent:

- Pharmaceutical
- Healthcare
- Energy
- Telecommunications
- Financial Services
- Insurance
- Retail
- Broker Dealers
- Hedge Funds
- Private Equity
- Merchant Cash Advance
- Banking
- Public and Private Education
- Transportation
- Construction
- Licensed Professionals
- Professional Services

## Service Portfolio:

- Retained General Counsel Services and Strategic Planning
- Compliance Counsel
- Mortgage Origination and Loan Servicing Compliance Audits and Program Reviews
- Education, Prevention, Mitigation, and Resolution of Whistleblower Claims Analyzing Proposed Transactions and Issue Legal Opinions
- Regulatory Enforcement Actions, Reviews, Audits and Investigations
- Wage and Hour Audits and Investigations
- Fraud, and Audit Services
- Officer, Director, and Shareholder Representation
- Conflict of Interest Reviews
- Code of Conduct, Ethics, and Misconduct Investigations
- National Litigation Counsel Services
- Electronic Discovery Review and Project Management
- Bankruptcy Litigation Oversight
- Compliance Program Design, Review, Training, and Implementation
- Policy and Procedure Drafting, Training
- Fraud and Risk Management, Prevention, and Mitigation
- Employment Discrimination and Harassment Investigations
- Board of Directors and Corporate Governance Compliance Review, Advice, and Counsel

QPWB | QUINTAIROS, PRIETO, WOOD & BOYER, P.A.

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Scharf Banks Marmor LLC

# The Firm

Scharf Banks Marmor LLC represents large global enterprises, public and private businesses, and government agencies in complex litigation, compliance and corporate governance, employment, intellectual property and technology, life sciences and food.

Clients that have retained Scharf Banks Marmor to handle sophisticated legal matters include Accenture LLP, City of Chicago, DuPont, Fig Food Company, Hyatt Corporation, GlaxoSmithKline, Georgia-Pacific, Merck, OSI Group, Stratford Career Institute, Thoma Bravo, Walgreens Co., and others.

Our lawyers bring a uniformly high level of education, training and experience. All of us joined the firm with many years' experience, usually as partners, either in leading AmLaw 100 firms or as senior leaders in Fortune 100 corporate law departments. All of us have represented companies in substantial litigations or transactions. We have an unusual affinity for engagements involving science or technology. Some of us have advanced doctoral degrees with scientific and technical backgrounds.

Recognized by our clients and the profession for the quality of our legal services as well as our commitment to diversity, Scharf Banks Marmor is the largest certified women-owned law firm in Chicago, as well as Illinois and surrounding states.

# Approach to Client Service

- ***We are often asked:*** Why are you different? The short answer is, we bring an unusual combination of highly experienced lawyers, state of the art technology, and a focus on quickly getting to the results our clients want without time-consuming and costly detours. Here's how we do it.

- ***Our Lawyers:*** All of our lawyers come from substantial large firm practices, or were high level officers of law departments, having represented Fortune 100 companies as well as smaller public and privately held businesses in high pressure, high stakes matters. As a women-owned law firm, we appreciate the benefits that diverse perspectives bring to analyzing and solving legal problems.

  Our lawyers have specialty skills, unusual even in larger firms, which have direct benefits in our areas of practice. One of our lawyers has a medical degree and conducted scientific research before practicing law. Another one of our lawyers has a doctorate in social sciences with special training in statistical analysis and medical research. Two of our lawyers are members of the patent bar. As a result, we have a special affinity for work in industries or matters with scientific or technical issues. We are frequent invited speakers at national seminars and authors of leading law publications. Several of us edit or write annual treatises in the areas of litigation, compliance and antitrust.

- ***Targeted Focus on Results:*** We operate under the “no surprises” rule. We value early strategic planning, regular reporting as often and in as much detail as our clients would like, and practical advice to achieve the business results that our clients want. We understand the importance of minimizing risks to the business and minimizing costs. In litigation, we have successfully tried many cases to juries and judges and know how to press for trial. At the same time we deliberately leverage opportunities for very early disposition of a matter, which is most often the goal of our clients.

- ***Innovative Staffing:*** We follow a “V” model, that provides to our clients the benefits and efficiency of working with experienced counsel who give practical, straight-to-the point advice. Most of our lawyers are partner-level attorneys and we do not staff any lawyers on your matter with less than 5 years full-time experience. We do not have minimum billing requirements for our attorneys and encourage them to be active in community and other activities that enhance their practices.

- ***Fees and Fee Arrangements:*** While many of our clients continue to prefer hourly rates, we also look for opportunities to use alternative fee arrangements. We have implemented a number of such deals and especially like arrangements that push for early results. Alternative fee arrangements can work in counseling as well as complex litigation, using such approaches as flat fee, sliding scale, partial contingency and results bonuses, alone or in combination, among a wide array of arrangements that can be win-win for both client and firm.

- ***Deep Local and National Networks:*** Our networks, and the reputations we have from them, benefit our clients, even on matters that seem at first blush to be far removed from bar and community activities. We have been elected and selected on Presidential Commissions of the American Bar Association, President of the National Association of Women Lawyers (NAWL), and leaders of a broad range of specialty and local bar groups, as well as community organizations.

TRANSCENDENT LAW GROUP

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# COMPLIANCE & INVESTIGATIONS PRACTICE

## WORKPLACE INVESTIGATIONS

TLG's employment lawyers regularly conduct sensitive internal corporate investigations, in a wide variety of industries, including education, healthcare, nonprofit organizations, pharmaceuticals, sports, and legal services. The need for a legal assessment often arises with claims and potential claims related to harassment, employee misconduct, disability accommodations, FMLA requests, discrimination based on age, race, disability, and gender, retaliation, and whistleblower laws. Our experienced professionals assist in triaging developing claims and providing pre and post-litigation legal consultations, as well as prospective advice on policies and procedures.

## EXAMPLES OF RECENT TLG WORKPLACE INVESTIGATIONS INCLUDE:

- Counseling universities in connection with investigations of faculty members, students, and staff.
- Investigating allegations of sexual misconduct involving an educator.
- Investigating complaints involving the Chief Executive Officer of a major nonprofit corporation.
- Conducting internal investigations into alleged discrimination and bullying by senior executives of various nonprofit organizations.
- Conducting internal investigations of alleged workplace discrimination, sexual harassment, and implicit bias on behalf of law firms and nonprofit legal organizations.
- Counseling professional organizations on investigating and responding to allegations of sexual harassment or misconduct by members.
- Conducting an internal investigation of allegations of age, race, disability, gender discrimination, and retaliation on behalf of a public-private partnership.
- Conducting several investigations related to complaints of mistreatment by employees of a public organization.
- Representing clients in a Department of Labor investigation.

## CONDUCTING WORKPLACE HARASSMENT INVESTIGATIONS

We initiate each investigation by gathering and evaluating documentation related to the behavior in question, followed by interviews of all of the parties involved. We record the claimant's viewpoint of the situation, documenting the details of the alleged incident(s) in question. From this conversation, TLG identifies and subsequently interviews relevant witnesses. Finally, we interview the individual(s) accused. Once all the interviews and documentation have been reviewed, TLG shares the results with the employer. Where requested, we compile our findings into a comprehensive report. Upon conclusion of the investigation, it is at the company's discretion to move forward, as appropriate. As a law firm, TLG understands and takes care to ensure privilege and discretion in the conduct of such commercially sensitive and confidential inquiries.

## RECOGNITION & CERTIFICATIONS

2023-2026 *Super Lawyer*
2026 AV Preeminent Rating by Martindale-Hubbell
*2013 Leadership in Law Honoree*
National Association of Women-Owned Law Firms (NAMWOLF) Member

Women's Business Enterprise Counsel (WBEC) Certified
Minority Business Enterprise (MBE) Certified
Disadvantaged Business Enterprise (DBE) Certified

**ATTORNEYS:** Michelle D. Craig • Richard A. Montgomery, II • Priya Kumar • Sasha Poche

**CONTACT INFORMATION:** Michelle D. Craig, **Managing Attorney**, mcraig@tlg.law

— TRANSCENDING THE TRADITIONAL LAW FIRM —

TREATY OAK
EMPLOYERS' LAW GROUP

# WHY EMPLOYERS CHOOSE TREATY OAK

*Strategic employment counsel for employers navigating complex workplace challenges.*

## ABOUT TREATY OAK

Treaty Oak helps employers make difficult decisions with confidence by combining legal strategy, compliance mandates, business savvy, and a deep understanding of human behavior in the workplace.

Clients turn to Treaty Oak because legal advice alone is rarely enough to solve a workplace problem.

## WHO WE SERVE

### HR Executives

Practical support for special projects, niche.

### Executive Teams

Business focused outcomes aligned with organizational goals.

### In House Counsel

Responsive partnership and strategic employment law support.

### Large Employers

Specialized and unbiased expertise for compliance challenges.

## WHAT SETS TREATY OAK APART

### Balances Humanity and the Law

Protects the organizational goals while recognizing the realities of managing people.

### Sound Judgment in Difficult Situations

Sensitive workplace issues handled with professionalism, discretion, and respect.

### Business Minded Counsel

Advice focused on practical outcomes, organizational goals, and profitability.

### Practical, Actionable Guidance

Recommendations informed by leverage, cost benefit, employee relations, and jury perspective.

### Strategic Problem Solving

Uses the legal process to achieve client goals, whether through settlement or trial.

### Extension of Your Team

Serves as an extension of HR, executive leadership, and in house counsel teams.

## PRACTICE AREAS

- Workplace Investigations
- Employment Litigation
- Workplace Compliance
- Executive Counseling
- Training and Education
- Workforce Strategy

## HOW WE WORK WITH REFERRING COUNSEL

- Responsive communication
- Respect for referral relationships
- Seamless collaboration with referring counsel
- Strategic employment law support
- Texas rooted, nationally minded

*Trusted by employers who need practical solutions, sound judgment, and employment counsel that aligns legal strategy with business objectives.*


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C+I PAC Contact
**REENA SIKDAR**
rsikdar@vablawfirm.com

## Compliance and Investigations Practice Areas:

- Conduct privileged and confidential investigations into allegations of:
  - corruption/bribery
  - fraud
  - discrimination
  - retaliation
  - harassment
  - violations of policy
- Conduct professional liability investigations for receiver of failed financial institutions
- Representations of clients under regulatory investigation
- Compliance counseling

## Representative Engagements:

- Independently investigate allegations of misconduct under privilege
- Partner with employment & compliance departments of Fortune 500 corporations and governmental entities to conduct investigations into allegations of misconduct
- Represent clients in high-profile harassment and discrimination investigations conducted by third-party investigative team

WALSH
PIZZI
O'REILLY
FALANGA

# Internal Investigations

Our team understands the importance of proactive crisis management. Walsh has extensive experience conducting internal investigations on behalf of some of the world's largest public and private corporations, as well as for institutions of higher education. In every investigation, we prioritize both thoroughness and discretion, to allow us to provide our clients with a comprehensive understanding of what occurred and an assessment of their options for responding. We regularly lead investigations into such issues as discrimination, sexual harassment, sexual misconduct, hostile work environment, and retaliation; other employee misconduct (involving internal policy violations, and unethical, unlawful, and/or criminal conduct, etc…); workplace corruption and whistleblower allegations under Sarbanes-Oxley Act (SOX) and Dodd-Frank Act (DFA).

Walsh acts as independent Title IX investigators for institutions of higher education, investigating highly sensitive student complaints pertaining to sexual misconduct, stalking, and gender-based discrimination and harassment in the educational context. We also provide strategic advice and counsel to clients who are subject to investigations by state and federal regulatory agencies, and assist in preparing responses to regulators' inquiries.

## Who We Work With

We represent international, national, and regional corporations of all sizes; municipalities and public agencies; multiemployer trade associations; non-profit organizations; institutions of higher education; and referring law firms for out-of-state/conflict issues.

## Our Team


Tricia B. O'Reilly


Peter J. Pizzi


Mariel L. Belanger


Caitlin P. Cascino


Elizabeth A. Joyce


Deirdre T. Cooney


Priscilla E. Savage

## Additional Practice Areas

Appeals; Bankruptcy, Reorganization & Creditors Rights; Business & Commercial Litigation; Class Action Defense; Construction; Cyber Security & Data Privacy; eDiscovery; Education; Financial Services & Risk Management; Insurance; Intellectual Property; Labor & Employment; Mediation, Arbitration & Special Master Appointments; Products Liability; Regulatory & Public Policy; Special Education; Trade Secrets & Employee Mobility.

# ZUBER LAWLER

Global Legal Solutions for Visionary Clients

Zuber Lawler represents Fortune companies, government entities and funds as well as leading companies in emerging industries and technologies. Zuber Lawler attorneys are thought leaders in their practice areas and innovative in their approaches. We are professionals who are from diverse and multi-cultural backgrounds, many of whom have multi-lingual abilities. We work in languages covering 90% of the world's population.

## Areas of Practice

**Appellate** - Zuber Lawler's appellate cases frequently involve a variety of business, constitutional, and public law issues, conflicting legal doctrines and public policies. Our attorneys spearhead appeals from final judgments, preliminary injunctions, and other interlocutory decrees, petitions for writs of certiorari or mandamus, appellate motion practice, and amicus curiae briefs.

**Corporate** - Zuber Lawler's corporate and commercial attorneys apply an interdisciplinary approach to every client's transaction or business problem, drawing upon expertise from across the spectrum of legal disciplines within the firm, including tax, bankruptcy, environmental, employment, finance, intellectual property and real estate. Utilizing this approach, we are able to resolve problems, and to structure, negotiate and close transactions in a timely and cost-effective manner.

**International Law** - Zuber Lawler's international attorneys have extensive international practice experience, including both "inbound" and "outbound" legal matters. We represent many non-U.S. clients in U.S. law matters, including acquisitions and other foreign investment transactions, technology transfers, regulatory matters, and disputes. And we represent many U.S. clients, large and small, in overseas legal matters, including regulatory and compliance matters, commercial transactions, and acquisitions.

**Labor & Employment** - Zuber Lawler's employment attorneys possess significant experience in defending management against allegations of discrimination, harassment, retaliation, and wage and hour violations, including through trial. Additionally, our team has experience conducting internal investigations in response to employee complaints.

**Intellectual Property and Trademark** - Zuber Lawler's intellectual property team is internationally recognized for results obtained across a broad range of intellectual property matters involving a variety of technologies, creative works, and distinguishing marks, slogans, and designs. Our practice covers all aspects of intellectual property support and protection, including trademark, copyright, patent and trade secret.

**Commercial and Financial Services Litigation** - Zuber Lawler's attorneys have extensive experience handling financial services and other complex commercial litigation throughout the U.S. Our financial services litigation attorneys have represented banks and other financial institutions in a variety of disputes including general litigation in state and federal courts. Zuber Lawler has represented parties in shareholder disputes, unfair competition claims, claims involving misappropriation of trade secrets and other confidential information.

**Real Estate Litigation** - Zuber Lawler's commercial real estate litigation group commonly represents and litigates on behalf of property owners, real estate developers, real estate investors, institutional and non-institutional lenders, landlords, commercial tenants and borrowers.

**White Collar Defense** - Zuber Lawler's attorneys have deep experience in handling high-stakes white-collar criminal defense and investigations cases. Our team focuses on representing corporate entities and individuals in a wide range of government investigations, internal investigations, and enforcement actions pertaining to business crimes and civil fraud actions.

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