

## Representative Client Matters

Recent client feedback as published in Best Lawyers:

- “Susan Brune is excellent. Her trial judgment and courtroom expertise - especially in SDNY - are unmatched. She gives straight, no nonsense advice and counsels on achieving the best outcome given the litigation dynamics. Highly recommend.”
- “Susan Brune and the Brune Law team did an incredible job defending me, and was very impressed by the entire team. They kept me informed every step of the way and used innovative approaches to deal with issues as they arose. They are disciplined, professional, hardworking and diligent.”
- “The Brune Law team helped me avoid getting involved with a DOJ criminal trial. I have no experience in such matters and was scared to death. Susan took me on as a client, became my advocate, and eventually my friend. The team is highly competent and truly understands the motivations of players in such a case.”
- “Great judgment, great results.”
- “Brune Law provides savvy, reliable and winning legal advice in a high-touch way that makes Susan a must hire in cannot lose situations.”

### Traders and bankers

- Well-known bank in an internal investigation (findings adopted by the audit committee)
- UHNW broker in FINRA investigation (no charges brought)
- Head trader of large cryptocurrency company in criminal investigation (no charges brought)
- Senior banker in FINRA investigation (no charges brought)
- Well-known investor in an insider trading investigation (no charges brought)
- Treasuries trader in criminal investigation (no charges brought)
- Food commodities trader in criminal investigation (no charges brought)
- Metals trader in criminal investigation (no charges brought)
- RMBS trader in criminal and SEC investigation (no charges brought)
- FX traders in DOJ and international investigations (no charges brought)
- RMBS banker in criminal investigation (no charges brought)
- Investment banker in SEC investigation (no charges brought) and civil suit (resolved on confidential terms)
- Banker in criminal investigation of alleged U.S. sanctions violations (no charges brought)

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- Technology professional in criminal and SEC investigation of trading commissions (no charges brought)
- Traders and LIBOR submitters in DOJ and international investigations (no charges brought)
- GICs bankers in criminal and SEC investigations (no charges brought) and civil suits (resolved on confidential terms)
- Eastern European bank in criminal and SEC FCPA investigation (no charges brought)
- NYSE specialists in SEC and criminal investigations (no charges brought)
- Financial advisor in high-stakes FINRA arbitration (settlement on eve of trial)

## **Fund and investment managers**

- Human relations head of large hedge fund in an internal investigation (no action taken against client)
- Representation of executives in ESG investigation (no charges brought)
- Hedge fund COO in a criminal case (acquittal), SEC proceedings (resolved on favorable terms) and civil proceedings (summary judgment granted in client's favor, confidential settlements)
- Investment adviser / broker dealer CFO and COO in SEC investigation of disclosures and trading practices (no charges brought)
- Private equity fund and its CEO in SEC proceedings concerning indenture reporting and accounting issues (complete trial victory)
- National investment manager EVP in SEC proceedings concerning bond fund (resolved on favorable terms)
- Hedge fund analyst in SEC investigation (no charges brought) and civil suits (cases dismissed)
- Bank investment management head in SEC investigation concerning sales practices (no charges brought)
- Hedge fund controller in SEC investigation of alleged self-dealing (no charges brought)
- Broker-dealer investment representative in criminal case concerning tax shelters (verdict reversed on appeal, based on post-trial motion below and case to be dismissed)
- Hedge fund portfolio manager in criminal and SEC investigations of insider trading (no charges brought)

## **Compliance personnel, lawyers and accountants**

- Senior compliance manager in FINRA investigation (no charges brought)

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- Senior accountant of a Big 4 accounting firm in criminal investigation (no charges brought)
- Law firm partner in criminal investigation of alleged investment fraud (no charges brought)
- Bank compliance head in criminal AML investigation (no charges brought)
- Lawyer in criminal investigation of alleged campaign finance violations (no charges brought)
- Law firm and its partners in SEC investigation concerning municipal bonds (no charges brought)
- Accountant in criminal investigation pertaining to mortgages (no charges brought)
- High-level bank compliance officer in a criminal investigation of FX trading practices (witness)
- Bank compliance head in various matters (witness)
- Lawyer in malpractice case (strategic advice)
- Compliance manager and lawyer in FINRA investigation (no charges brought)
- Multiple bank compliance personnel in investigation of energy trading practices (witnesses)
- In-house counsel in SEC and criminal investigation of accounting fraud and related civil cases (witness)
- General Counsel of financial services company in criminal investigation (no charges brought)
- CFO of industrial concern in SEC case (favorable resolution)
- Multiple bank compliance personnel in investigation of money laundering issues (witnesses)
- Bank country head in internal investigation and lawsuit relating to Madoff (no claims brought)
- Accountant in criminal investigation of Ponzi scheme (no charges brought)
- Lawyer in criminal investigation of embezzlement from large bank (no charges brought)
- Analyst firm in internal investigation of insider trading (no charges brought)

## **Executives and businesses**

- Private lending company CEO in criminal investigation (no charges brought)
- Internal investigation of a private equity fund portfolio company executive (findings adopted by the audit committee)
- Internal investigation of sensitive matter pertaining to CEO of a large public company (findings adopted by the board)

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- Internal investigation against a whistleblower allegation of a high-level insurance executive (findings accepted by the company)
- Human relations executives at public company in SEC investigation (no charges brought)
- Teva Pharmaceuticals in False Claims Act case (favorable settlement on eve of trial)
- Automotive company board member in SEC and criminal investigation of potential insider trading (no charges brought)
- Airline CEO in FCPA investigation (no charges brought)
- Chief human resources officer of large technology company in SEC investigation (no charges brought)
- Business intelligence firm and its CEO in criminal and SEC investigation of insider trading (no charges brought)
- Actuary in SEC investigation of accounting for insurance contracts (no charges brought)
- Reinsurance company and its executives in criminal and SEC investigations (no charges brought)
- High-level scientist in “Dieselgate” criminal investigation (no charges brought)
- Employees of defense contractor in investigation of billing practices (no charges brought)
- Cable company CFO in filed SEC case (favorable resolution)
- Industrial infrastructure salesman in internal investigation of FCPA issues (no adverse employment consequences)
- Large media company in internal investigation and strategic advice relating to a threatened civil suit (no claims brought)
- CFO of manufacturing company in SEC investigation of cost accounting practices (no charges brought)
- Controller of software company in a criminal accounting fraud investigation (resolved on favorable terms)
- Nationally known winery in state AG investigation concerning sales practices (resolved on favorable terms)
- Future claimants representative (and law professor) in large-scale asbestos trust (strategic advice)
- Westchester County municipality in investigation of embezzlement by city official (official resigned based on investigative report and ultimately pleaded guilty)

## **Doctors and other health care professionals**

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- Pharmaceutical sales representatives in whistleblower-initiated federal and state criminal and civil investigations of sales practices (no charges brought) and related civil litigation (resolved by company)
- Obstetricians in whistleblower-initiated Medicaid billing criminal and civil and False Claims Act investigation (no charges or claims brought)
- Doctor in criminal investigation of prescription practices (no charges brought)
- Pharmaceutical company in investigation of diversion of prescription samples (no charges brought)
- Country head of international health care concern in FCPA investigation of payments to doctors (no charges brought)
- Endocrinologists in criminal and False Claims Act investigation (no charges or claims brought)
- Drug distributor CEO in SEC accounting investigation (no charges brought)
- Doctor in criminal investigation of controlled substance prescription practices (no charges brought)
- Foster care agency in criminal investigation and regulatory investigations concerning supervision practices (no charges brought)