



**Fiona A. Philip**

Partner

Fiona Philip is a Partner in Howrey's Securities Litigation, Government Enforcement and White Collar Criminal Defense practice group.

Ms. Philip is a former Enforcement Counsel to the Chairman of the SEC, and former Senior Counsel in the Financial Fraud Task Force of the SEC Division of Enforcement. In this capacity, she worked closely with the Division of Enforcement and Office of the General Counsel to create policy and guidance for SEC Enforcement staff and to ensure consistency in Commission policy. She also advised the Chairman on various rulemakings under the Sarbanes-Oxley Act, the Investment Advisers Act and the Securities Act.

Ms. Philip represents corporations and their officers, directors and employees in government proceedings before the SEC, DOJ, FINRA and other law enforcement agencies and regulatory bodies. Ms. Philip's practice includes representation in connection with the Foreign Corrupt Practices Act (FCPA), insider trading, stock options backdating, and accounting and internal controls irregularities. She also assists management and boards of directors with internal investigations and advises public companies, exchanges, and financial services firms with Sarbanes-Oxley counseling and remedial measures related to securities laws issues.

**Fiona A. Philip**

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**ADMISSIONS**

District of Columbia  
New York

**EDUCATION**

Georgetown University Law  
Center (JD, 1999)

Georgetown University (BA, 1995)

**REPRESENTATIVE MATTERS**

- *AIG credit default swaps.* Representation of a former Vice President of Accounting Policy of AIGFP in government investigations related to AIG derivative products.
- *FCPA investigation.* Representation of several former and current employees of Fortune 500 oil and gas service companies in joint SEC and DOJ FCPA investigations involving transactions in Africa and the Middle East.
- *Insider trading investigation.* Representation of a former CFO of a banking institution involving tipper liability, resulting in no action being taken against the client.
- *SEC investigation.* Representation of a financial services firm regarding hedge fund trading.
- *Accounting investigation.* Representation of a foreign company in a joint SEC and foreign regulator investigation regarding alleged accounting and disclosure violations.

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- *Stock options investigation.* Representation of a former controller of a Fortune 500 media company in stock options-related derivative and class action lawsuits.
- *FCPA investigation.* Conducting due diligence for Fortune 500 oil and gas services companies related to employment of agents/consultants in Asia Pacific, Africa and the Middle East.
- *Accounting investigations (10A).* Conducting internal investigations of listed companies pursuant to auditor identifications of potential illegal acts.
- *SEC investigation of regional stock exchange.* Represented a regional stock exchange in an SEC investigation pertaining to alleged regulatory violations.

## COURTS & ADJUDICATIVE BODIES

- United States Supreme Court

## PROFESSIONAL AFFILIATIONS

- Corporate Counsel, Co-Chair, Administrative Law and Regulatory Practice, American Bar Association (2008–present)
- Advisory Committee Member, SEC Historical Society (2004–present)
- Georgetown University Alumni Admissions Program (2001–present)
- Member, New York State Bar Association (1999–present)

## PRO BONO

- Filed amicus brief in Supreme Court in *Stoneridge*, arguing against the extension of third-party liability.

## PUBLICATIONS & SPEAKING ENGAGEMENTS

### ARTICLES

"You Are Not Your Brother's Bookkeeper: The Supreme Court's Securities Decision in *Stoneridge*." *For the Defense* (February 2008). Co-authored with Jerrold J. Ganzfried.

"US Private Securities Litigation Issues for Foreign Companies." *PLC Dispute Resolution Handbook* (2008).

"The SEC's New Risk-Based Enforcement." *Inside Litigation* (Fall 2006). Co-authored with Mark D. Wegener.

"Broker-Dealer Arbitration." *ABA's Business and Commercial Litigation in Federal Courts* Vol. 2nd Edition (2005). Co-authored with Richard W. Beckler.

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## **SPEECHES**

"Madoff Fund Probe." Bloomberg Television (December 18, 2008).  
Guest.

"Cross-Border Internal Investigations." American Conference Institute  
(May 19, 2008). Panelist.

"Corporate Cooperation with Government Investigations." ABA Section  
of Administrative Law & Regulatory Practice (2008). Moderator.