Supervisory Examinations, Investigations & Enforcement

Proactive Guidance Through Regulatory Scrutiny

When regulators come calling, preparation makes the difference. When facing a routine examination, targeted investigation, or full-scale enforcement action, businesses need experienced counsel who can respond swiftly, protect reputational and operational integrity, and resolve matters efficiently.

At Hinshaw, we help financial institutions, insurance companies, fintechs, healthcare entities, and other regulated businesses navigate supervisory exams and investigations from start to finish. Our team advises clients during inquiries from federal and state regulators, including the CFPB, FTC, SEC, state attorneys general, departments of insurance, and banking regulators. We deliver practical, business-aligned strategies that anticipate regulator expectations, mitigate enforcement risk, and support long-term compliance goals

Our team includes attorneys with deep agency insight, including former government enforcement lawyers and attorneys who have held senior in-house roles. Through conducting internal reviews, responding to Civil Investigative Demands (ClDs), and negotiating consent orders, we help clients maintain control in the face of scrutiny.

Agency-Specific Experience: We regularly interact with regulators, including the CFPB, OCC, FDIC, SEC, FTC, state AGs, and insurance departments. We know how these agencies approach exams, how they build cases, and how to shape responses that align with both business and legal priorities

Crisis-Ready Counsel: From urgent document requests to preparing for testimony, we help clients respond decisively under pressure, whether in initial supervisory exams or full-blown enforcement proceedings

Regulatory Strategy that Extends Beyond the Matter: We don't just respond, we help you strengthen compliance programs, close gaps, and prepare for future oversight. Our enforcement defense strategies often uncover structural improvements that support long-term regulatory resilience

Areas of Focus

Civil Investigative Demands (CIDs) & Subpoenas

Responding to CIDs and subpoenas from federal and state regulators, including the development of production strategies, privilege review, and response narratives.

Enforcement Defense

Defending businesses and individuals in enforcement actions, consent negotiations, administrative hearings, and litigation involving alleged regulatory violations.

Internal Investigations

Conducting internal audits and investigations related to potential regulatory breaches, whistleblower allegations, or pre-litigation.

Multi-Jurisdictional Regulatory Strategy

Advising clients subject to oversight by multiple state or federal regulators, with a focus on harmonizing response strategies and managing cross-agency risk.

Supervisory & Regulatory Examinations

Preparing for and responding to CFPB, SEC, state AG, and banking department exams, including risk assessments, document production, and staff interviews.

Clarity and Control When It Matters Most

Facing regulatory scrutiny is never easy, but with the right legal partner, you stay in control. Hinshaw delivers clear, practical guidance through examinations, investigations, and enforcement actions, helping you protect your business, mitigate exposure, and emerge stronger on the other side.

Insights

In The News
Aug 29, 2025

A Blueprint for Conducting Internal Investigations | Best Practices for In-House Compliance Teams

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