

Ann C. Kim

Partner

Los Angeles

Biography

Ann strategically draws upon her wealth of knowledge from her past experience working as a federal prosecutor and SEC enforcement division senior counsel to advise clients and provide insight on how to navigate civil regulatory and criminal government probes.

During her five years at the U.S. Attorney's Office and seven years at the SEC, Ann investigated and prosecuted numerous high-profile fraudulent schemes in parallel DOJ/SEC actions, including violations of federal securities laws, fraudulent investment schemes by broker-dealers and investment advisors, violations of the Foreign Corrupt Practices Act, and insider trading cases that involved Fortune 500 companies.

Ann represents clients from the earliest stages of an investigation through trial during criminal and civil regulatory matters, and handles complex civil business litigation. Ann represents Audit Committees, corporations, and individuals in independent and internal investigations and SEC investigations, including with respect to allegations of financial fraud, books and records violations, insider trading, disclosure issues, and workplace misconduct. She leverages her legal acumen and trial experience to advise clients across various industries, including public companies, financial institutions, investment funds, and health care organizations.

Before joining the government, Ann spent six years as an associate and counsel at a multinational law firm.



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Languages

English
Korean

Practices

Investigations, White Collar, and Fraud
Litigation Services
Commercial Litigation
Banking and Finance Litigation
Technology Litigation

Industries

Financial Institutions
Life Sciences and Health Care

Representative experience

Conducted an independent investigation for the Audit and Finance Committee of a public company concerning allegations of financial misconduct, and leadership and tone at the top issues.

Conducted an internal investigation for the Audit Committee of a public company concerning potential violation of Regulation FD and potential insider trading.

Conducting an independent investigation for a US-based venture-capital fund regarding allegations of fraudulent misrepresentations and misuse of company funds.

Investigated and prosecuted investment adviser related to misleading clients regarding advisory fee rates.

Investigated and prosecuted a Section 16 officer and his broker for insider trading.

Investigated, prosecuted, and obtained a guilty verdict in an investment fraud scheme with losses over \$100 million.

Investigated and prosecuted a former employee for embezzling over \$1.2 million from his employer.

Represented a professional services company in an SEC investigation concerning potential revenue recognition issues, and obtained a termination letter without recommending any enforcement action.

Counseled a professional services company in a year-long SEC investigation concerning potential revenue recognition issues, obtaining a termination letter without recommending any enforcement action.

Investigated a Fortune 500 company for FCPA violations related to the hiring of relatives of Chinese government officials, which ultimately led to a settled action with the SEC.

Latest thinking and events

- News
 - Court of Chancery rules that supermajority voting provision did not

Areas of focus

Anti-money Laundering

Bribery and Corruption

Financial Services Regulatory Investigations and Enforcement

Government Investigations

Anti-Corruption Compliance and Due Diligence

Education and admissions

Education

J.D., Pepperdine University School of Law, magna cum laude, 2000

B.A., University of California, Los Angeles, 1992

Memberships

Co-Chair, ABA White Collar Crime Committee, Southern California Region

Bar admissions and qualifications

California

Court admissions

U.S. Court of Appeals, Ninth Circuit

U.S. District Court, Central District of California

apply to conversion

- News
 - Solak v. Mountain Crest Capital: fiduciary duties claims abound for SPAC sponsors and directors
- News
 - Q4 2024 Quarterly Corporate / M&A decisions updates
- News
 - Federal district court denies Target's motion to dismiss securities claims related to one of its ESG and DEI Initiatives
- News
 - No breach of fiduciary duty where directors approved merger that stripped common stock of its value
- News
 - Tenth Circuit affirms dismissal of short seller's claims against Overstock