



Charlotte Underwood focuses her practice on internal corporate investigations, civil and criminal government investigations, white collar criminal defense, corporate monitorships, and financial services litigation. Her practice also includes compliance and advisory matters in the area of political law and government ethics.

Prior to joining the firm, Charlotte served as counsel for the U.S. Senate Select Committee on Ethics in Washington, D.C., as a member of the committee's nonpartisan professional staff. During her more than five years in the Senate, she was responsible for conducting some of the Committee's most sensitive investigations, and for drafting new and revised regulations, proposed rule changes, and related Committee guidance. In that role, she regularly advised Senators, their staffs, outside law firms, and other entities and individuals on ongoing compliance with federal laws and Senate Rules related to conflicts of interest, insider trading, gifts, political activity, and financial disclosure.

At Barnes & Thornburg, Charlotte continues to advise clients on their interactions with the federal government, including how they can effectively and appropriately engage their elected officials. She also advises individuals considering entering government service as well as those already working in government, with a particular emphasis on navigating conflicts of interest and STOCK Act compliance.

In her litigation practice, Charlotte represents financial services firms, companies, and individuals in investigations and litigation conducted by the Department of Justice, Congress, the Securities and Exchange Commission, the Commodity Futures Trading Commission, and the Financial Industry Regulatory Authority. She also advises financial services firms in transactional and investment-related disputes. In her compliance and advisory work, Charlotte advises on the development and deployment of effective compliance programs for her clients' businesses, including risk assessment and training, and provides advice on day-to-day matters.

Charlotte began her career as an associate at a leading international law firm representing clients in securities litigation and complex regulatory

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EDUCATION

New York Law School, (J.D.), magna cum laude, Staff Editor of New York Law School Law Review, John Marshall Harlan Scholar, 2013

Skidmore College, (B.A.), government, cum laude, Periclean Honors Society, 2008

BAR ADMISSIONS

New York

COURT ADMISSIONS

U.S. Court of Appeals for the Second Circuit

U.S. District Court for the Southern District of New York

U.S. District Court for the Eastern District of New York

LANGUAGES

English

PRACTICES

Compliance and Monitorships

Financial and Regulatory Litigation

Litigation

White Collar and Investigations

INDUSTRIES

matters.

Political Law

Professional and Community Involvement

Member, American Bar Association Section of Administrative Law & Regulatory Practice

Member, American Bar Association Legislative Process and Congressional Investigations Committee

Member, Society of Corporate Compliance and Ethics