

ATTORNEYS IN THIS PRACTICE

William P. Barry
Shari A. Brandt
Eva Marie Carney
Jon Connolly
MaryJeanette Dee
Arthur S. Greenspan
Wendy A. Harris
Paul A. Leder
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Lee S. Richards, III
Daniel L. Stein
Sarah P. Swanz
Grace C. Wen
Daniel C. Zinman

RELATED PRACTICES

Corruption, Bribery and Money Laundering
Financial and Accounting Fraud
Securities Enforcement, Internal and Government Investigations and Criminal Defense
Securities Trading and Market Manipulation

Broker-Dealer Sales Practices

RK&O is a preeminent firm in the representation of broker-dealers. Our expertise in compliance and regulatory issues critical to broker-dealer practices enables us to assist clients in responding to regulator inquiries and working proactively to prevent future violations.

We advise clients in connection with examinations, investigations and administrative proceedings involving all aspects of broker-dealer practices. We guide our clients through the process of responding to inquiries from the SEC, FINRA, state regulators and other governmental agencies and self-regulatory organizations. We have defended broker-dealers in the context of a diverse range of matters, including Ponzi scheme and other unauthorized fund transfer allegations; unauthorized trading and suitability issues; allegations of kickbacks and bribery; sufficiency of books and records and customer disclosure; and Know Your Customer (KYC) issues. Regulators frequently put RK&O forward to act as receiver or monitor in high-profile situations, such as the recent matters involving Bernard L. Madoff Investment Securities LLC and Westgate Capital Management, LLC.

EXPERIENCE

We currently represent or have recently represented:

- A national securities brokerage firm in auction rate securities enforcement actions by the SEC and state regulators.
- A global financial services firm in a FINRA investigation regarding a retail securities lending program.
- A retail broker in a FINRA investigation and DOJ referral regarding an alleged "Ponzi" scheme.
- A global financial services firm in a FINRA investigation and Sarbanes-Oxley "whistle blower" claim regarding alleged kickback payments.
- A global financial services firm in a FINRA investigation regarding equity syndicate allocations to family members.

PUBLICATIONS

"Proposed SEC Rules on Uniform Fiduciary Standard Expected Soon" by Arthur S. Greenspan, published in Bureau of National Affairs *Securities Regulation & Law Report*

"Credibly Defending Against Insider Trading Allegations: *SEC v. Rorech*" by Eva Marie Carney

PRESENTATIONS

RK&O partners participate in the panel discussion "Receiving Information, Managing Risk, and Preserving Liquidity: Strategies for the Current Regulatory Landscape" at the Financial Services General Counsel Luncheon in San Francisco

BROKER-DEALER SALES PRACTICES (Cont.)

RK&O partners present "Receiving Information, Managing Risk and Preserving Liquidity: Strategies for the Current Regulatory Landscape" at the Alternative Asset Management General Counsel Luncheon in New York City

NEWS & ANNOUNCEMENTS

Acquisition International names RK&O 2011 White-Collar Crime Law Firm of the Year

U.S. News-Best Lawyers awards RK&O "Law Firm of the Year" in White Collar-Government Investigations Law and recognizes firm's other practice areas

Richards Kibbe & Orbe LLP names Jeffrey Lehtman a partner and Catherine Turgeon and Ryan Jackson counsel

MaryJeanette Dee and James Walker appear in *Super Lawyers - Corporate Counsel Edition*