

ATTORNEYS IN THIS PRACTICE

William P. Barry
Shari A. Brandt
Eva Marie Carney
Jon Connolly
David W.T. Daniels
MaryJeanette Dee
Arthur S. Greenspan
Wendy A. Harris
Audrey Laning Ingram
Paul A. Leder
Jeffrey A. Lehtman
Morgan G. Macdonald
Michael D. Mann
Matthew M. Riccardi
Lee S. Richards, III
Daniel L. Stein
Sarah P. Swanz
James Q. Walker
Grace C. Wen
Daniel C. Zinman

RELATED PRACTICES

Broker-Dealer Sales Practices
Corruption, Bribery and Money Laundering
Financial and Accounting Fraud
Securities Enforcement, Internal and Government Investigations and Criminal Defense

Securities Trading and Market Manipulation

Our expertise in representing entities and individuals in investigations regarding securities trading and market manipulation stems from years of experience in both public and private practice. Our lawyers include senior officials from the SEC and the U.S. Attorney's Office for the Southern District of New York, as well as experienced private practitioners with a deep-seated understanding of the U.S. and international capital markets. We regularly engage with FINRA, the SEC and federal and state prosecutors in the context of investigations, enforcement actions, examinations and inspections and sweeps.

EXPERIENCE

We currently represent or have recently represented:

- Global investment bank insider trading referral to SEC.
- Hedge fund "marking the close" investigation by SEC.
- Representation of multiple hedge funds in connection with investigations by the United States Attorney's Offices for the Southern District of New York and the United States Securities and Exchange Commission regarding short selling violations and the alleged spread of malicious rumors.

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

"Developments in the Internationalization of Securities Enforcement Part II" by Michael Mann and William Barry
The International Lawyer, Winter 2005; Volume 39; Number 4; ABA Section of International Law

"Developments in the Internationalization of Securities Enforcement" by Michael Mann and William Barry
The International Lawyer, Fall 2005; Volume 39; Number 3; ABA Section of International Law

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

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

SECURITIES TRADING AND MARKET MANIPULATION (Cont.)

Jon Kibbe speaks at the 15th Annual Conference of The Loan Syndications and Trading Association

MaryJeanette Dee participates as a Panelist at the PLI "Bet the Company Litigation 2009: Best Practices for Complex Cases" conference

MaryJeanette Dee acts as a Moderator for a panel discussion titled "Managing Litigation On Multiple Fronts: Parallel Criminal, SEC, and Plaintiff Proceedings"

NEWS & ANNOUNCEMENTS

Shari Brandt quoted in *Investor's Business Daily* article "Best Buy Botched CEO Exit News But Shined in Probe"

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

Michael Mann quoted in *Fund Strategy* magazine

An "insiders' tip" is how The Legal 500 refers to Richards Kibbe & Orbe LLP's White Collar Criminal Defense Practice