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PRACTICE AREAS

Civil Litigation

Business and
Commercial Disputes

Capital Markets
Litigation

Creditors' Rights and
Bankruptcy Litigation

Securities and
Shareholder Suits

Regulation and Compliance

Lawyers and Ethics
Compliance

Operational Advice

Securities Enforcement, Internal and Government Investigations and Criminal Defense

Broker-Dealer Sales
Practices

Corruption, Bribery and
Money Laundering

Financial and Accounting
Fraud

Securities Trading and
Market Manipulation

CLERKSHIPS

Honorable Robert D.
Sack, United States
Court of Appeals for the
Second Circuit

Shari A. Brandt

Shari A. Brandt focuses on complex civil litigation, regulatory proceedings, internal investigations, and white collar criminal defense. She often represents clients in matters that proceed simultaneously in regulatory, white collar defense, and civil litigation forums.

Ms. Brandt represents international and domestic clients in the finance, accounting, pharmaceutical, retail, computer software/hardware, telecommunications, and education industries, among others. She also represents individuals. She works on behalf of plaintiffs and defendants in civil litigations at the federal and state level, arbitrations, and mediations. She also represents individuals, institutions, securities professionals, accountants, and corporate officers who are under investigation by the SEC, FINRA, United States Attorney, and other governmental and self-regulatory bodies.

Representative matters include:

- Representing brokerage firm in connection with domestic and international regulatory inquiries into the setting of LIBOR rates;
- Representing insurer in litigation and regulatory inquiries concerning auction rate securities and residential mortgage-backed securities;
- Representing brokerage firm in connection with regulatory inquiries concerning credit default swaps;
- Representing private equity firm in the United States in two lengthy arbitrations concerning hedge fund valuation, employment law, and breach of contract issues;
- Representing hedge fund in connection with breach of contract claims arising from sale of a business;
- Defending major university against allegations that its medical research violated anti-discrimination and informed consent laws;
- Representing software consulting company in employment disputes initiated by United States and United Kingdom employees;
- Representing senior officer of a brokerage firm in connection with multiple regulatory and criminal investigations into market timing;
- Representing senior officer of drug company in connection with regulatory, criminal, and Congressional subcommittee inquiries into insider trading allegations;
- Representing accountants, consultants, and clerks in investigations by the SEC and United States Attorney's office into auditing standards and booking of revenue;
- Representing individual brokers and supervisors in disciplinary proceedings before the SEC and FINRA; and
- Representing audit committee of a national retailer in internal investigation into incorrect accounting and internal control failures.

In 2000, Ms. Brandt was an Adjunct Assistant Professor at the Fordham University School of Law. Ms. Brandt is admitted to practice before the United States Supreme Court, the United States Court of Appeals for the Second

EDUCATION

Fordham University
School of Law, J.D.,
magna cum laude, 1996
Cornell University, B.A.,
1992

SHARI A. BRANDT (Cont.)

Circuit, State Bars of New York and New Jersey as well as the United States District Courts for the Southern District of New York, Eastern District of New York and District of New Jersey.

HONORS & AWARDS

- Selected by New York Super Lawyers - Metro Edition as a 2011 New York Rising Star
- Recommended by *The Legal 500 United States* (2010, 2011): Ms. Brandt is recognized in the litigation, white-collar criminal defense and regulatory section, as possessing a "deep knowledge of the subject matter, sound judgment, [and] great instincts and [for being] very client service oriented."

NEWS

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

RK&O attorneys recognized as 2011 Super Lawyers

RK&O practices, attorneys cited in *The Legal 500 United States*

The Legal 500 recognizes RK&O as "one of the top firms in the country" for white-collar and regulatory work

Shari Brandt and James Walker give insight on regulatory challenges for public companies in *Financier Worldwide*

SEMINARS & SPEAKING ENGAGEMENTS

Brian Fraser and Shari Brandt present "What Litigators Need to Know About Dual Representation and Potential Conflicts of Interest During Internal Investigations - Understanding the Impact of *United States v. Nicholas*"

Shari Brandt acts as a Moderator at the 6th Securities Litigation: Managing the Newest Risks and Exposures conference

PUBLICATIONS

"Failure to Follow U.S. Electronic Discovery Rules Carefully May Lead To Heavy Sanctions For Parties And Their Lawyers" by Shari Brandt and James Walker published in *Financier Worldwide*

"Ninth Circuit's Reversal of Evidence Exclusion in Broadcom Case Does Not Alter Lessons Learned Regarding *Upjohn* Warnings" by Shari Brandt and James Walker



SHARI A. BRANDT (Cont.)

"Issuing a Proper Upjohn Warning Will Not Cure Multiple Representation Conflicts" by James Walker and Shari Brandt

"Can an Upjohn Warning Avoid Representational Ambiguity?" by Shari Brandt and James Walker

"Recent S.D.N.Y. Opinion Further Restricts the Use of Selective Waivers" by James Walker, Daniel Zinman and Shari Brandt