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PRACTICE AREAS

Civil Litigation

Regulation and Compliance

Corporate Governance

Operational Advice

Securities Enforcement, Internal and Government Investigations and Criminal Defense

CLERKSHIPS

Honorable William H.
Timbers, United States
Court of Appeals for the
Second Circuit

Honorable Harold Baer,
Jr., United States District
Court, Southern District
of New York

EDUCATION

Fordham University
School of Law, J.D.,
magna cum laude, 1993

College of William and
Mary, B.A., 1984

Daniel C. Zinman

Daniel C. Zinman concentrates his practice in regulatory proceedings, internal investigations, white collar criminal defense matters and commercial litigations. He often represents banks, broker-dealers, investment advisors, corporate officers, securities professionals, lawyers and other entities and individuals in connection with investigations and inquiries by the DOJ, SEC, FINRA and other governmental entities and SROs. Mr. Zinman also represents companies and senior executives in connection with complex commercial litigations and arbitrations, including securities class action lawsuits.

Mr. Zinman has served as the Court appointed Receiver, and as lead counsel to the Court appointed Receiver, for several companies. In addition, he helps companies develop and implement comprehensive ethics and compliance policies, procedures and training programs.

Recent significant engagements include:

- Representing numerous senior securities industry professionals and hedge funds in SEC investigations and related civil litigations concerning CDO and other structured products transactions;
- Representing a large broker-dealer and its managers in an SRO investigation concerning fraud and misappropriation of client assets;
- Representing eighteen financial advisors in a broad SRO investigation relating to allegations of churning, excessive trading and unsuitable investment recommendations;
- Representing a public company in an internal investigation relating to allegations of fraud in the sale of a foreign subsidiary;
- Representing numerous senior corporate officers as well as mutual fund portfolio managers in DOJ and SEC investigations concerning insider trading allegations;
- Representing hedge fund traders and institutional portfolio managers in SEC and SRO investigations relating to alleged violations of Regulation SHO;
- Representing numerous senior securities industry professionals in DOJ, SEC and SRO investigations, as well as corresponding civil litigations, concerning allegations relating to market timing;
- Representing numerous senior insurance company executives in SEC and NY Attorney General investigations, as well as corresponding securities class actions and ERISA litigations, concerning allegations relating to bid-rigging, tying, steering and contingent commissions;
- Representing a brokerage firm in connection with multiple commercial litigations and related SRO investigations;
- Representing numerous financial institutions and securities professionals in connection with arbitrations and commercial litigations;
- Serving as the Court appointed Receiver in *FTC v. Evan Blumenstein et al.*, 01 Civ. 8987 (HB);
- Serving as the Court appointed Receiver in *Silver v. Goldberg*, 92 Civ. 6989 (HB);

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- Serving as lead counsel to the Receiver in *SEC v. Bernard L. Madoff et al.*, 08 Civ. 10791 (LLS);
- Serving as lead counsel to the Independent Examiner in *United States v. Computer Associates International, Inc.*, Cr. No. 04-837 (ILG);
- Overseeing a public company's creation and implementation of compliance and ethics policies and procedures, as well as corresponding training programs; and
- Developing compliance training materials for broker dealers and their financial advisors.

Mr. Zinman was recognized as a New York Super Lawyer in 2009 and 2010 for his business and securities litigation work as well as his white collar criminal defense expertise. He is also an Adjunct Legal Writing Professor at Fordham University School of Law, where he teaches legal writing.

HONORS & AWARDS

Selected by *Super Lawyers* magazine as New York Super Lawyer in Business Litigation, Securities Litigation and White Collar Criminal Defense (2009-2011)

NEWS

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

RK&O attorneys recognized as 2011 Super Lawyers

RK&O attorneys recognized as 2010 Super Lawyers

RK&O attorneys recognized as 2009 Super Lawyers

SEMINARS & SPEAKING ENGAGEMENTS

James Walker and Daniel Zinman present "The Erosion of the Attorney-Client Privilege over Electronic Communications: A Discussion of Recent Developments in the Law and Practical Guidance for In-House Counsel to Consider in Preserving the Privilege"

PUBLICATIONS

"Expanded Supervisory Liability for In-House Lawyers" by James Walker, Daniel Zinman and Grant Mogan published in the *New York Law Journal*

"In-House Lawyers Beware: SEC Expands Supervisory Liability" by James Walker, Daniel Zinman and Grant Mogan

"New Decision on the Application of Attorney-Client Privilege to Communications With In-House Counsel" by James Walker, Daniel Zinman and Hellen Park

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

"Employers Need To Revisit E-Mail Policies In Light Of Court Decision Rejecting Attorney-Client And Work Product Privileges" by James Walker and Daniel Zinman

"Strategies For Addressing The Eroding Attorney-Client Privilege For In-House Counsel" by Daniel Zinman

DANIEL C. ZINMAN (Cont.)

PROFESSIONAL AFFILIATIONS

Adjunct Legal Writing Professor, Fordham University School of Law