



**Deborah R. Meshulam**

**Partner**

deborah.meshulam@dlapiper.com

**Washington, DC**

T: +1 202 799 4511

F: +1 202 799 5511

Deborah Meshulam is one of the leaders of DLA Piper's Securities Enforcement practice. She has more than two decades of experience defending and trying the full range of cases arising from allegations of securities law violations, including FCPA and accounting fraud claims, and related breaches of fiduciary duty. She conducts cross-border internal and independent investigations for multinational corporations and regularly advises clients on compliance matters and litigation avoidance. She also counsels clients on a wide range of corporate governance and regulatory matters, including those related to the application of securities laws to digital assets and blockchain platforms. She has written on securities law and compliance issues and is a frequent speaker at professional programs on these topics. Deborah has been repeatedly recognized by legal industry publications including most recently by the Legal 500 for her work in Securities Litigation-Defense and Who's Who Legal Investigations: 2021 as a Global Leader in investigations. She is a past recipient of the Burton Award for Legal Achievement, run in alliance with the Law Library of Congress. She is also recognized as a Washington DC Super Lawyer in Securities Litigation.

Prior to joining DLA Piper, Ms. Meshulam served for seven years as Assistant Chief Litigation Counsel for the Securities and Exchange Commission's Division of Enforcement, a senior level position. As lead trial counsel, she prosecuted securities enforcement cases, including jury trials, involving complex financial fraud, accounting, corruption, market manipulation, insider trading, sales practice fraud, Ponzi schemes and public offering fraud and disclosure issues.

At DLA Piper, Ms. Meshulam represents and has successfully defended individual and corporate clients in SEC and Department of Justice (DOJ) investigations relating to claims of securities law and FCPA violations. She counsels clients on compliance, regulatory and corporate governance

- Corporate and Securities Litigation
  - White Collar and Corporate Crime
  - Class Actions
  - Litigation, Arbitration and Investigations
  - International Trade, Regulatory and Government Affairs
  - Mergers and Acquisitions
  - Public Company and Corporate Governance
  - Insurance and Reinsurance Disputes
  - Investigations
  - Real Estate Investment Trusts
  - Global Investment Funds
  - Professional Liability
  - Capital Markets
  - Emerging Growth and Venture Capital
  - US Law and Policy
- 
- Energy and Natural Resources

matters, including issues relating to auditor independence requirements. She also counsels clients on Sarbanes-Oxley and Dodd Frank whistleblower matters. Ms. Meshulam regularly conducts investigations on behalf of multinational companies or their audit committees, often relating to FCPA questions, accounting issues, alleged securities law violations and employee misconduct. She also represents clients in investigations conducted by Congress, state securities authorities, the Public Company Accounting Oversight Board (PCAOB), FINRA and Exchanges.

In her investigations practice, Ms. Meshulam leads and conducts investigations, including cross border investigations, involving a variety of industries and sectors including financial services, defense, energy, consumer, real estate, and healthcare. She has conducted and led investigations involving market manipulation claims, FCPA allegations and accounting fraud claims in China, India, Kazakhstan and Kuwait as well as in Europe. Ms. Meshulam has obtained SEC no-action and DOJ declination decisions in several such matters. In one of her recent matters, she persuaded the SEC to close an accounting fraud investigation against a global corporation with no action. In another recent matter she successfully resolved an SEC investigation involving complex financial products and a number of affiliated financial services companies.

Ms. Meshulam's regulatory counselling practice includes advising clients on a wide range of corporate governance and regulatory matters, including financial reporting and disclosure issues, design and implementation of compliance programs under the securities laws and the FCPA as well as issues faced by brokers/dealers, investment advisers and other regulated entities. She also represents clients in rulemaking proceedings and in SEC inquiries from the Divisions of Corporate Finance and Trading and Markets, the Office of Chief Accountant and the Office of Compliance Inspections and Examinations.

She is an Audit Committee Member of the non-profit organization, Global Fund to End Modern Slavery.

- Insurance
- Financial Services
- Life Sciences
- Media, Sport and Entertainment
- Consumer Goods, Food and Retail
- Technology
- Industrials
- Real Estate

## LANGUAGES SPOKEN

French

## LANGUAGES SPOKEN

- French

## EXPERIENCE

---

### SAMPLE REPRESENTATIONS

- Representation of companies facing DOJ/SEC investigations related to cryptocurrency and token issues.
- Advise cryptocurrency exchange regarding application of securities laws to digital assets
- Representation of financial services companies, including investment advisers, broker dealers and their associated persons in an SEC investigation related to use of quantitative models and related disclosures.
- Representations of multi-national companies in DOJ/SEC investigations of possible FCPA issues, including companies in the defense, technology, extractive and transportation industries.
- Representation of audit committee conducting independent investigation of possible Ethics Code violations and related issues.
- Representations of China based issuers and their executives in SEC investigations and related private securities fraud class actions and derivative lawsuits, including companies in the manufacturing, and natural resource development industries.
- Representation of corporation in securities class actions and shareholder derivative class actions arising from restatement of financial statements. All cases dismissed.
- Representation of public companies, audit committees and independent auditors regarding compliance with requirements of Sarbanes-Oxley.
- Representation of government (at request of the SEC) as Receiver locating and collecting assets of an individual who committed securities fraud.
- Representation of a charitable organization in connection with SEC/FINRA/NYSE rulemaking proceedings related to travel and entertainment rules for regulated entities and persons. Successfully persuaded regulators to address issues raised by client in proposed rule.
- Representation of a senior corporate officer in a Freddie Mac SEC enforcement investigation and related shareholder derivative action and ERISA class action alleging breach of fiduciary duty. Favorable resolution of all matters.

- Representation of foreign nationals in SEC market manipulation investigation. After SEC froze clients US accounts, persuaded SEC to unfreeze the accounts and allow clients to repatriate their funds with no SEC action against them.
- Representation of the former CEO of the UK subsidiary of a US company in an SEC enforcement investigation relating earnings restatement. After SEC threatened to sue, persuaded them to bring no claim against client.
- Representation of accounting firm and its partners in PCAOB investigation. Favorable resolution with no sanctions imposed on individual partners.
- Representation of financial services provider in SEC enforcement investigation regarding alleged improper sales practices, inadequate reporting, and inadequate recordkeeping. Successfully persuaded SEC that client's revised procedures (designed by Ms. Meshulam) resolved any issues. SEC closed the matter with no action.
- Representation of WorldCom/MCI Inc. in private securities class actions, DOJ investigation and state securities enforcement investigations, and select bankruptcy proceedings arising from 2002 earnings restatement.
- Defense of former Enron chairman, Ken Lay, before Congress and in SEC enforcement investigation.
- Representation of non-profit corporation directors sued by association members for fraud and breach of fiduciary duty. After defeating a motion for preliminary injunction, won dismissal of the case with prejudice.

## CREDENTIALS

---

### Admissions

- District of Columbia
- New York

### Recognitions

In 2021, Deborah was again recognized as a global leader in investigations by Who's Who Legal Investigations: 2020. Her clients commented that she has "longstanding government and SEC experience," "is very intelligent and approaches issues from a commercial and legal standpoint" and is "very detail oriented, which helps with a big picture, strategic view."

Additionally, Deborah has been recognized by *The Legal 500 United States* for her work in Securities Litigation Defense.

In 2011, Deborah won the Burton Award for Legal Achievement for her article, "Lessons from the Credit Crisis: Can Market Participants Bear the Risk," published in *Business Law Today*. The Burton Award, run in alliance with the Law Library of Congress, is dedicated to rewarding effective legal writing.

Deborah is also a Washington DC Super Lawyer, recognized most recently in 2021.

### Prior Experience

Before coming to DLA Piper, Deborah served as Assistant Chief Litigation Counsel of the SEC's Enforcement Division, a senior-level position. As lead trial counsel, she prosecuted a number of securities enforcement cases, involving complex financial fraud, accounting, market manipulation, insider trading, sales practice fraud, and public offering fraud and disclosure issues.

### Education

- J.D., Columbia University School of Law 1981  
Harlan Fiske Stone Scholar
- B.A., University of Virginia 1978  
*magna cum laude*

### Courts

- Supreme Court of the United States
- United States Court of Appeals for the District of Columbia Circuit

- United States Court of Appeals for the Eleventh Circuit
- United States Court of Appeals for the Second Circuit
- United States District Court for the District of Columbia
- United States District Court for the District of Maryland
- United States District Court for the Eastern District of New York
- United States District Court for the Southern District of New York

## INSIGHTS

---

### Publications

#### **SEC adopts Nasdaq diversity listing standards: Key takeaways and action items**

12 August 2021

In approving the rule, the SEC found that it would improve investor access to transparent and consistent diversity data.

---

#### **SEC issues Staff Statement on investments in the bitcoin futures market**

20 May 2021

The Statement signals that the SEC will continue to proceed cautiously in approving any proposed bitcoin ETFs and that funds and advisers should expect increased scrutiny.

---

#### **SEC focus on SPACs: Key takeaways from recent SEC statements and enforcement activity**

28 April 2021

The SEC's attention to SPACs is not surprising given the explosion in SPAC IPOs in 2020 and the first quarter of 2021.

---

#### **SEC Commissioner Peirce issues revised token safe harbor proposal**

23 April 2021

The proposed rule provides two paths to an exit that would allow the company to keep operating without registration of the tokens.

---

#### **Understanding securities enforcement**

7 April 2021

**Addressing the basics that matter in the course of a securities investigation.**

---

#### **SEC interim final amendments signal stricter regulation on Chinese and other emerging market companies**

29 March 2021

Under the new requirements, certain companies must establish that they are not owned or controlled by a foreign government entity and must disclose any foreign government influence.

---

### **SEC Division of Examinations announces 2021 exam priorities**

9 March 2021

The priorities provide insight into the Division's risk-based approach to examinations and the areas it believes present potential risks to investors and the US capital markets.

---

### **Climate change disclosures – under SEC scrutiny**

25 February 2021

This new directive does not come as a surprise.

---

### **Six months after *Liu*: The SEC and disgorgement**

28 January 2021

In the wake of *Liu*, several open questions are only now starting to work their way through the courts.

---

### **SEC invites comment on newly revealed 2011 proposal to conduct undercover investigations of criminal violations of securities laws**

20 January 2021

Such an undercover program could be a game changer, increasing criminal prosecutions of securities fraud.

---

### **SCOTUS suggests expansive reach of "Bridgegate" ruling in directing Second Circuit to reconsider insider trading convictions**

14 January 2021

Yet another example of the Supreme Court's continuing effort to trim the government's overly expansive theories of criminal liability in certain cases under the federal fraud statutes.

---

### **Congress expands SEC enforcement authority, broadens disgorgement powers and doubles statute of limitations periods**

6 January 2021

Buried deep in the annual defense bill is an important group of securities law amendments that strengthen the SEC's enforcement powers.

---

### **Climate activism: Status check and opportunities for public companies**

14 December 2020

The systemic risk of climate change is being discussed and managed in board rooms around the world.

---

---

## **Nasdaq proposes board diversity listing standards**

8 December 2020

The proposal is the first of its kind among US exchanges and, if approved by the SEC, would mark an important step toward mandated diversity requirements for the boards of US-listed public companies.

---

## **SEC 2021 and beyond: What to expect**

7 December 2020

Some likely areas of SEC focus, from both the regulatory and enforcement perspectives, in 2021 and beyond.

---

## **SEC issues risk alert on investment adviser compliance program issues**

24 November 2020

Deficiencies in the areas identified by OCIE increase the risk of enforcement actions.

---

## **SEC roundtable highlights exam observations on Regulation Best Interest and Form CRS compliance**

29 October 2020

Key guidance discussed during the roundtable.

---

## **Unpacking the DOJ's cryptocurrency guidance: Enforcement priorities and industry implications**

15 October 2020

A warning to offshore cryptocurrency exchanges and other money services businesses operating outside of the reach of US authorities.

---

## **Divided SEC proposes conditional registration exemption for finders assisting with private capital raising**

13 October 2020

The Proposal would permit natural persons to engage in certain activities related to private offerings of securities without registering with the SEC as brokers.

---

## **SEC votes 3-2 to amend whistleblower rules**

1 October 2020

The amended rules include an updated definition of "whistleblower" and a requirement that submissions must be provided in writing.

---

## **Key Reg S-K disclosure rules amended: Fundamental issues to consider in your next SEC filing**

9 September 2020

The overarching theme of the amendments is the SEC's focus on issuer responsibility.

---

---

## **US moves forward on enhanced securities regulations focusing on Chinese companies**

17 August 2020

Latest developments in US efforts to address the financial risks posed by emerging market companies.

---

## **SEC announces Event and Emerging Risks Examination Team**

3 August 2020

The Event and Emerging Risks Examination Team will engage proactively with financial firms regarding current market events and emerging threats.

---

## **SEC virtual roundtable provides insight on future direction of regulation for emerging market companies listed on US exchanges – continued focus on China**

16 July 2020

The roundtable gathered the views of investors, market participants, regulators and industry experts to continue raising investor awareness about the risks of investing in emerging markets, especially where regulatory oversight is limited.

---

## **Supreme Court approves SEC disgorgement with limits**

9 July 2020

The decision appears to be a victory for the SEC 's ability to obtain disgorgement, but the Court recognized limitations on equitable disgorgement which may offer defendants some potential relief.

---

## **SEC issues risk alert on private fund abuses**

8 July 2020

Activity by the Enforcement Division tends to follow OCIE's leadership on issues of concern.

---

## **SEC announces agenda and panelists for July 9 roundtable on emerging markets and China**

2 July 2020

The roundtable will gather the views of investors, market participants, regulators and industry experts to continue raising investor awareness about the risks of investing in emerging markets.

---

## **SEC settles *Lucia* enforcement action**

22 June 2020

Questions remain following Supreme Court decision concerning the Appointments Clause of the Constitution and who constitutes an "Officer of the United States" for the purposes of complying with that constitutional provision.

---

## **Chinese and other emerging market companies listed in the US face increased scrutiny from Congress and**

## **Nasdaq**

27 May 2020

Within a span of two days, the US Senate, House and Nasdaq each took steps to safeguard investors in the US capital markets.

---

## **SEC announces July 9, 2020 date for roundtable on emerging markets and China**

20 May 2020

The SEC's next steps in raising investor awareness about the risks of investing in emerging markets.

---

## **FINRA publishes effective practices for broker-dealers' senior investor protection programs and Securities Helpline-related enforcement and referral data**

11 May 2020

FINRA's efforts to protect senior investors are wide ranging and continue to grow.

---

## **SEC Chairman announces roundtable on emerging markets and China**

7 May 2020

This continuing focus on investor protection is consistent with other key regulatory initiatives.

---

## **SEC's proposed new rule on valuation practices turns focus of funds and investment advisers to compliance programs**

6 May 2020

Although new from a regulatory standpoint, the requirements of the SEC's proposed Fair Value Rule are not entirely novel.

---

## **US securities regulators focus on China and emerging markets: Further risk and disclosure considerations are necessary**

4 May 2020

Key takeaways for China-based US-listed companies.

---

## **FINRA proposes to tighten rules for brokers with history of misconduct**

27 April 2020

The proposal may impact broker-dealer hiring and retention decisions and who can invest in or otherwise control a broker-dealer.

---

## **Corporate commitment to compliance helps bank avoid FCPA charges despite alleged \$4.5M bribery scheme**

24 April 2020

The SEC's complaint provides insight into what made the compliance program so effective that the individual's former employer avoided government sanctions.

---



---

## **Investment adviser compliance in the COVID-19 pandemic – pay attention to valuation and strategy deviation issues**

17 April 2020

Investment advisers still must comply with their obligations to maintain and implement fair pricing policies and procedures and follow their disclosed investment strategies.

---

## **COVID-19: A breeding ground for corruption – monitoring key risks**

10 April 2020

US regulators are reminding US businesses that a crisis situation does not excuse a failure to address increased risks of bribery and corruption.

---

## **Court confirms Telegram injunction covers non-US purchasers**

2 April 2020

The court's opinion provides additional color on highly disputed issues concerning application of securities law to cryptocurrency.

---

## **Coronavirus: Warning from SEC on insider trading highlights importance of disclosure controls during the COVID-19 pandemic**

31 March 2020

A statement on March 23 warned that the SEC would be on heightened alert for signs of insider trading and other misconduct that might harm investors.

---

## **Court grants SEC's motion for preliminary injunction against Telegram's sales of Gram cryptocurrency; Telegram appeals**

30 March 2020

The decision is likely to significantly impact digital asset sales in the US.

---

## **Coronavirus: strategic considerations for US investment advisers considering whether to apply for temporary relief from filing obligations due to COVID-19**

27 March 2020

While this relief may be welcome for many, before applying for relief, investment advisers should consider whether the extension is advisable in light of the conditions placed on advisers seeking to rely on the relief and the implications of seeking an extension.

---

## **Court rules that "personal benefit" not necessary for criminal insider trading liability under certain statutes**

14 January 2020

Blaszczak is unlikely to be the last word on insider trading.

---

## OCIE announces 2020 Examination Priorities

9 January 2020

SEC Chairman Jay Clayton said OCIE's list of priorities sets forth key areas of existing and emerging risk that the Commission expects market participants to identify and mitigate.

---

## Responding to the SEC's final whistleblower bounty rules

2 Jun 2011

---

## SEC begins Dodd-Frank rulemaking with new open process

28 Jul 2010

---

- Lead Author: Securities & Related Investigations: USA, *Global Investigations Review Know How*, March 2, 2021; GIR Insight: Know-how - Securities & Related Investigations: USA ([globalinvestigationsreview.com](http://globalinvestigationsreview.com))
- Co-Author, "Climate Activism: Status Check and Opportunities for Public Companies," *Harvard Law School Forum on Corporate Governance*, January 16, 2021 and *The Corporate Governance Advisor*, March/April 2021
- Author, "Digital Asset Regulation and Enforcement: Don't Forget the States, Chapter 10," Course Materials Practising Law Institute Hedge Fund and Private Equity Enforcement & Regulatory Developments 2020 Conference, July 31, 2020
- Co-Author, "Emerging Markets Companies Face Increased US Scrutiny," *Law360*, June 16, 2020
- Co-author, "My Brother's Keeper: SEC Enforcement Against COOs and In-House Counsel, Practising Law Institute Course Handbook: Storming the Gatekeepers: When Compliance Officers and In-House Lawyers Are at Risk, June 11, 2019
- Contributor, "Cryptocurrency and its impact on insolvency and restructuring," *INSOL International*, May 2019
- Co-author, "Crypto Regulation: SEC Suggests Possible Path from Security to Non-Security," *New York Law Journal*, April 24, 2019
- Co-author, "Despite TurnKey, SEC Will Try To Regulate Most Digital Assets," *Law360*, April 15, 2019
- Co-author, "US and Australia Tackle Fintech Regulation Together," *Law360*, January 23, 2019
- Co-author, "US Securities Laws Can Be Used to Prosecute ICO Fraud," *New York Law Journal*, September 19, 2018
- Co-author, "First Judicial Finding that Digital Tokens Are Securities," *Law360*, July 11, 2018
- Co-author, "2017-2018 SEC Whistleblowing Review: Insights and Trends," *Journal of Investment Compliance*, Volume 19, Issue 1, July 10, 2018
- Co-author, "Supreme Court Rules SEC ALJs Unconstitutionally Appointed," June 27, 2018
- Co-author, "The Rise of the 'Crypto Czar,' the Fall of a 'Blockchain Evangelist'," *New York Law Journal*, June 2018, This article has been widely reprinted in such outlets as the *National Law Journal*, *ThinkAdvisor*, *Corporate Counsel* and *Coin News King*
- Co-author, "The Rise of the 'Crypto Czar,' the Fall of a 'Blockchain Evangelist'," *Yahoo! Finance*, June 2018
- Co-author, "How One New York Court Is Shaping the Future of Crypto Enforcement," *Law360*, May 2018
- Co-author, "Crypto Industry Sweep: ICOs Under Increasing Scrutiny by U.S. Regulators," *New York Law Journal*, April 2018
- Co-author, "Defending Parallel Proceedings, Key Considerations and Best Practices," *The Journal Securities Litigation and Enforcement*, October 2016
- Co-author with Rachel Cowen and Ross Eberly, "Federal Agencies Attach Employment Agreements and What to Do About It: Eight

Steps to Consider," *Employee Relations Law Journal*, Vol. 41, No.2, Autumn 2015

- Author, "Significant Recent Securities Litigation Cases and Their Impacts," *Inside the Minds: New Developments in Securities Litigation*, Aspatore/Thomson Reuters, June 2015

## Events

### Previous

#### Consumer Financial Services: Regulatory and Enforcement Trends for 2021

14 April 2021 | 3:00 - 4:00 ET  
Webinar

---

#### International Financial Services Regulation: What will be big in 2021?

28 October 2020  
Webinar

---

#### Disclosure Issues During COVID-19

15 June 2020 | 12:00 - 1:30 ET  
Webinar

---

#### 35th Annual SEC Reporting and FASB Forum

17 December 2019  
New York

---

- Speaker, "Looking Ahead: the Regulatory Landscape for Financial Services in 2020," DLA Piper Client Webinar, December 2, 2021
- Moderator, "Whistleblowers 2021: What the SEC, CFTC and States Are Doing to Encourage Tips," DC Bar virtual panel presentation, April 27, 2021
- Moderator, "The SEC's New Investment Adviser Marketing Rule: Impact on Firms and Investors," DC Bar Program, February 17, 2021
- Moderator/Panel Speaker, "Emerging Technology—Crypto Assets, Big and New Forms of Data and Regulatory Issues," Practicing Law Institute Conference (via Zoom): Hedge Fund and Private Equity Enforcement & Regulatory Developments 2020, September 29, 2020
- Speaker, "SEC Enforcement Update-2020," Washington DC Compliance Roundtable Webinar, September 24, 2020
- Panel Speaker, "What the Government Expects of a "Gatekeeper"," Practicing Law Institute Conference (via Zoom): Storming the Gatekeepers: When Compliance Officers and In-House Lawyers Are at Risk, September 2, 2020
- Moderator, "Disclosure Issues During COVID-19," DC Bar Association Webinar, June 15, 2020
- Speaker/Panel Moderator, "Emerging Technology—Crypto Assets, Big and New Forms of Data, and Regulatory Issues," Practicing Law Institute Conference: Hedge Fund and Private Equity Enforcement & Regulatory Developments, New York, New York, October 1, 2019
- Speaker, "The Responsibilities of In House Counsel and Compliance Personnel," Practicing Law Institute Conference: Storming the

Gatekeepers: When Compliance Officers and In-House Lawyers are at Risk, New York, New York, September 4, 2019

- Speaker, "Getting Ready for Reg BI," Southeastern Women in Financial Services Lunch and Learn, Tampa, Florida, August 13, 2019
- Panelist, "Digital Asset Regulation: What the SEC Is Doing and why It Matters," West Legal/Celesq Webinar, June 18, 2019
- Speaker, "The Securities Fraud Landscape: Recent Trends and Developments and Their Implications for the Year Ahead," The Knowledge Group, Webinar, October 30, 2018
- Moderator, "Chief Compliance Officers in Financial Services," National Association of Women Lawyers Panel Discussion, New York, New York, September 27, 2018
- Moderator, "A Discussion of Regulation Best Interest and the SEC's Interpretation of Advisers' Fiduciary Duties," DC Bar, Washington, DC, June 19, 2018
- Moderator, "Enforcement Mid-Year Review," DC Bar, Washington, DC, June 14, 2018
- Speaker, "Dealing with Whistleblowers: What Employers Need to Know in 2018 and Beyond," The Knowledge Group, Webinar, February 14, 2018
- Speaker, "SEC Investigations, Accounting and Disclosure Fraud: Significant Issues for 2017," The Knowledge Group, Webinar, November 8, 2017
- Speaker, "The Revamped SEC Administrative Enforcement Process: Balancing Out a Lopsided Warfare," The Knowledge Group, Webinar, March 1, 2017
- Moderator, "Financial Industry Regulatory Authority (FINRA) Disciplinary Hearings," DC Bar Association Washington DC, January 19, 2016
- Speaker, "Dodd-Frank Act's Rule 21F-17: Enforcement Actions Against Whistleblower Protection Violations in 2016," The Knowledge Group, Webinar, January 13, 2016
- Panelist, "A View From the Top: Compliance and the C-Suite," Global Legal Confex, New York, New York, October 28, 2015
- Speaker, "Whistleblowers: What Companies Are Doing Now," Webinar, TheCorporateCounsel.net, September 17, 2015
- Speaker, "FCPA Enforcement: Trends Facing Energy Companies," Webinar, DLA Piper CLE series: Lighting the Way-Navigating Obstacles in the Energy Markets, June 3, 2015
- Panelist, "Disclosure, Cooperation & Counsel Pitches--Defense Counsel Perspectives," 8th Annual White Collar Crime & Corporate Governance Conference, Chicago, Illinois, April 16, 2015
- "The Other Anti-Bribery Litigation: Understanding Risk & Exposure Under the False Claims Act," TRACE Anti-Bribery Specialist Accreditation, November 12, 2014
- Speaker, "Shareholder Class Action Lawsuits under The New Companies Act, 2013: Lessons Learned from the US Experience," ABA Section of International Law Joint Conference with Society of Indian Law Firms, New Delhi, India, February 14, 2014
- Speaker, "Good Corporate Governance Makes Good Sense Ethical Behavior and Effective Compliance," ABA Section of International Law Joint Conference with Society of Indian Law Firms, New Delhi, India, February 14, 2014

## NEWS

---

## MEDIA MENTIONS

- "Emerging Markets Companies Face Increased US Scrutiny," *Law360*, June 16, 2020
- "SEC May Soon Require Human Capital Reporting," *SHRM*, October 21, 2019
- Quoted in "SEC Puts Crypto Exchanges On Notice With First Settlement," *Law360*, November 8, 2018
- Quoted in "What Dr. Seuss Can Teach Us About Bringing Cybersecurity Onto The Blockchain," *Forbes*, November 2, 2018
- Quoted in "SEC's Post-Lucia Case Rehearings Largely For Show," *Law360*, August 31, 2018
- Quoted in "SEC to target more individual advisers in 2018," *InvestmentNews*, November 20, 2017
- Quoted in "SEC's In-House Courts Safe For Now After 2nd Circ. Win," *Law360*, June 1, 2016
- Quoted in "SEC's 7th Circ. Win Won't End War On Admin Courts," *Law360*, August 31, 2015
- Quoted in "Pay-To-Play Ruling Sticks Advisers With Tough-To-Follow Rule," *Law360*, August 25, 2015
- Quoted in "Federal Bank-Diversity Standards Are Weak: House Dems, Activists," *American Banker*, June 22, 2015

- "Halted SEC Case To Spark More In-House Court Challenges," *Law360*, June 9, 2015
- "S&P Nears Settlement on Real-Estate Bond Ratings," *The Wall Street Journal*, December 25, 2014
- "SEC investigating claims of unequal distribution of market moving data," *Global Investigations Review*, October 30, 2014
- "Some Expect to See SEC Lean Away From Courts Following Judge's Criticism," *BDWeek*, January 16, 2012