

PEOPLE



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Associate

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Represents broker-dealers, hedge funds, and other financial services clients in regulatory investigations and enforcement actions by the SEC, CFTC, and SROs, including with respect to insider trading, market manipulation and various fraud-based allegations.

Eric also advises on related civil and bankruptcy litigation matters.

Practices

**BROKER-DEALER REGULATORY AND ENFORCEMENT
LITIGATION**

Bar Admissions

New Jersey

New York

Washington, D.C.

Education

University of California, Berkeley, School of Law, J.D.

Louisiana State University, B.A.,
summa cum laude

Publications

- “Investment Adviser Conflicts Under the SEC’s New Enforcement Paradigm,” *Bloomberg Law*, June 2022
- “SEC Seeks to Shorten the Standard Settlement Cycle to T+1,” *Schulte Alert*, Feb. 10, 2022
- “SPAC Litigation Alert: CEO of Acquisition Target Charged in First Criminal Indictment Connected to a De-SPAC Transaction,” *Schulte Alert*, Aug. 9, 2021
- “SPAC Litigation Alert: SPAC Sponsor and CEO Agree to Pay Civil Penalties and Forfeit Sponsor Shares Following SEC’s Charge of Disclosure and Due Diligence Failures,” *Schulte Alert*, July 20, 2021
- “Federal Banking Regulators Update Guidance on Model Risk Management Practices for AML and Sanctions Compliance,” *Schulte Alert*, June 10, 2021
- “SPAC Litigation Alert: SEC Cautions SPAC Participants that Claims of Reduced Liability Exposure Are Overstated,” *Schulte Alert*, April 13, 2021
- “Broker-Dealers and Mutual Funds: Increased Regulatory Focus on Suspicious Activity Monitoring and Reporting Requirements,” *Schulte Alert*, April 1, 2021
- “SEC Staff Bulletin Highlights AML Risks Associated with Low-Priced Securities Trading in Omnibus Accounts,” *Schulte Alert*, Dec. 14, 2020