



**Kolby K. Loft**  
*Special Counsel*

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## Contact

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**Represents private funds, broker-dealers, and other financial institutions in enforcement proceedings and investigations by the SEC, DOJ, FINRA, self-regulatory organizations and state regulators.**

Kolby has advised clients during investigations and enforcement matters relating to potential insider trading, securities fraud, market manipulation, and a wide array of investment adviser and broker-dealer rules and regulations.

He also represents clients in regulatory investigations relating to developing financial technologies, including digital assets.

Kolby previously worked at global law firms and in the litigation department of a global investment bank.

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## Practices

**BROKER-DEALER REGULATORY AND ENFORCEMENT  
LITIGATION  
SEC ENFORCEMENT AND WHITE COLLAR DEFENSE**

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## Bar Admissions

New York

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## Education

New York University School of Law, J.D.

New York University, B.A.

▪ *cum laude*

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## Publications

- “Broker-Dealers and Mutual Funds: Increased Regulatory Focus on Suspicious Activity Monitoring and Reporting Requirements,”  
*Schulte Alert*, April 1, 2021

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## Prior Experience

- Shearman & Sterling, 2019-2020
- Credit Suisse Securities (USA), 2014-2020
- Alston & Bird, 2013-2018