#### □ PEOPLE



H. Spencer Busby Associate

#### Contact

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# Focuses on assisting clients in their regulatory enforcement, compliance and white collar criminal litigation matters.

Spencer represents broker-dealers, private funds, other financial institutions, and individuals during regulatory investigations and enforcement proceedings before the SEC, DOJ, CFPB, FINRA and other SROs, and state regulators.

She draws on her trading desk compliance experience when advising clients on matters relating to insider trading, market manipulation, securities fraud, developing robust compliance programs, and navigating the broker-dealer and investment adviser rules. Spencer also represents clients during investigations and enforcement proceedings in connection with blockchain and digital asset offerings.

Before joining Schulte, Spencer worked in compliance on the fixed income and equity derivative desks of two global investment banks and at the

#### **Practices**

LITIGATION

BROKER-DEALER REGULATORY AND ENFORCEMENT
SECURITIES LITIGATION AND CLASS ACTION
SEC ENFORCEMENT AND WHITE COLLAR DEFENSE

## **Bar Admissions**

New York

## Education

The George Washington University Law School, J.D.,

Senior Production Editor, Federal Communications Law Journal

The George Washington University, M.B.A.

Christopher Newport University, B.A.

## **Publications**

- Securities Enforcement Quarterly, Schulte Publication, February 2023
- Securities Enforcement Quarterly, Schulte Publication, October 2021; republished in the Harvard Law School Forum on Corporate Governance, November 2021

## **Prior Experience**

- Deutsche Bank
- UBS