

FIRM NEWS

SRZ Adds Leading Broker-Dealer Regulatory & Enforcement Group

March 3, 2016

SRZ is pleased to announce a major expansion with the addition of a group of leading broker-dealer attorneys from the firm Bracewell LLP. Resident in the firm's New York office, Julian Rainero and Craig S. Warkol join as partners and co-chairs of SRZ's Broker-Dealer Regulatory & Enforcement Group, and Douglas I. Koff joins as partner. Also joining are special counsel David S. Sieradzki in Washington, D.C., as well as Kelly Koscuiszka and Evan F. Barnes in New York. Joining as associates in New York are William Barbera, Derek N. Lacarrubba, Katherine M. Sullivan and Amanda C. Wichot.

"We are excited to welcome this large group of highly skilled attorneys," commented Alan S. Waldenberg, chair of SRZ's Executive Committee. "Their sought-after counsel is crucial, especially as broker-dealers face heightened government scrutiny."

"These leading lawyers are respected specialists, and they further strengthen our capabilities in serving the robust broker-dealer industry," added Stephanie R. Breslow, co-head of SRZ's Investment Management Group and a member of the firm's Executive Committee.

Commenting on their move, Mr. Rainero and Mr. Warkol said, "Schulte Roth & Zabel is well known for its broad capabilities and depth of practice. We are delighted to join the firm and look forward to making great contributions."

PARTNERS

Julian Rainero joins as partner and co-chair of the Broker-Dealer Regulatory & Enforcement Group. He advises broker-dealers and alternative trading systems on compliance with SEC, self-regulatory organization (SRO) and Federal Reserve Board rules. His practice involves all aspects of broker-dealer regulation, with a focus on cash equities trading practices, alternative trading systems, net capital, customer asset segregation, prime brokerage, correspondent clearing, margin and securities lending. Mr. Rainero represents many of the leading electronic market makers and alternative trading systems and serves on the best-execution committees of several major broker-dealers. In addition to regularly advising broker-dealers on regulatory compliance and best practices, he represents clients in responses to examination findings and enforcement proceedings. He also provides legal counsel to financial institutions in connection with acquisitions of or investments in broker-dealers, credit facilities collateralized by securities and transactions subject to Regulation M. Mr. Rainero has been recognized as a leading financial services regulatory attorney in *Chambers USA* and *The Legal 500 United States*. He received his B.A. from Dickinson College and his J.D. from American University, Washington College of Law.

Craig S. Warkol joins as partner and co-chair of the Broker-Dealer Regulatory & Enforcement Group. His practice focuses on securities enforcement and regulatory matters for broker-dealers, private funds, financial institutions, companies and individuals. Drawing on his experience both as a former enforcement attorney with the SEC and as a Special Assistant U.S. Attorney in the Eastern District of New York in the Business and Securities Fraud section, Mr. Warkol represents clients before the SEC, DOJ, FINRA and other SROs and state regulators. He also advises corporate officers, boards, audit committees, investment advisers and broker-dealers regarding the federal securities laws and, when necessary, defends them in connection with enforcement proceedings. Mr. Warkol also has experience representing entities and individuals under investigation for, or charged with, securities fraud, mail/wire fraud, accounting fraud, insider trading, market manipulation, money laundering, Foreign Corrupt Practices Act (FCPA) violations and tax offenses. While serving in the DOJ, he prosecuted allegations of securities fraud, insider trading, mail and wire fraud, money laundering and tax offenses. At the SEC, he investigated and prosecuted numerous violations of federal securities laws. He is listed as a leading litigation attorney in *Benchmark Litigation* and *The Legal 500 United States*. Mr. Warkol received his B.A. from University of Michigan and his J.D., *cum laude*, from Benjamin N.

Cardozo School of Law, where he was the notes editor of the *Cardozo Law Review*.

Douglas I. Koff joins as partner in the Broker-Dealer Regulatory & Enforcement Group, where he represents clients in high-profile civil and criminal proceedings, as well as investigative matters. He is best known for supervising these types of matters for financial institutions and broker-dealers as well as representing executives in the crosshairs of government regulators and criminal authorities. Mr. Koff has been actively engaged in cases involving financial service institutions, broker-dealers and corporate executives relating to securities, derivative products and other complex financial instruments. In this regard, he has advised and defended companies and corporate executives in virtually all types of inquiries by civil and criminal authorities (as well as SROs) into business practices on Wall Street, including a wide array of matters involving the financial crisis. Mr. Koff has also handled major civil litigations and arbitrations involving a broad spectrum of substantive legal issues, including fraud, breach of contract, antitrust, breach of fiduciary duty, reinsurance, piercing the corporate veil, mergers and acquisitions, and money laundering, as well as federal securities law. He is listed as a leading litigation attorney in *Chambers USA* and *New York Super Lawyers*. Mr. Koff received his B.A. from Earlham College and his J.D. from Columbia Law School, where he was the managing editor of the *Columbia Human Rights Law Review*.

SPECIAL COUNSEL

David S. Sieradzki joins as special counsel in the Broker-Dealer Regulatory & Enforcement Group. His practice focuses on representing broker-dealers, investment advisers and hedge funds in connection with matters arising under federal and state securities laws and SRO rules. He advises securities firms and their employees on complex sales and trading issues affecting the securities markets. Mr. Sieradzki's practice encompasses a wide range of regulatory issues affecting financial services firms and institutional investors, including equity and fixed-income trading practices; order handling and execution issues; market making; broker-dealer registration; outsourcing; audit trail and trade reporting requirements; and creation and distribution of research reports and other communications with the public. He also advises clients in connection with mergers and acquisitions involving broker-dealers. In addition to regulatory counseling, he represents clients in enforcement

proceedings and conducting internal investigations. He has played an important role in matters involving, among other things, specialist trading, market making, agency trading, research, broker-dealer registration and the self-regulatory function of securities exchanges. Prior to entering private practice, Mr. Sieradzki was a Special Counsel at the U.S. Securities and Exchange Commission's Division of Trading and Markets and counsel to Commissioner Isaac C. Hunt, Jr. He received his B.B.A. from Hofstra University and his J.D., *cum laude*, from New York Law School, where he was the articles editor of the *New York Law School Journal of International and Comparative Law*.

Kelly Koscuizka joins as special counsel in the Broker-Dealer Regulatory & Enforcement Group and represents broker-dealers and other financial institutions in regulatory enforcement matters, including matters before the SEC and FINRA. Ms. Koscuizka also defends individuals and entities under investigation for, or charged with, securities fraud, mail/wire fraud, accounting fraud, insider trading, market manipulation, money laundering and tax offenses. She also represents clients in complex commercial litigation matters, including cross-border disputes. Ms. Koscuizka received her B.A. from Rutgers University and her J.D. from Georgetown University Law Center.

Evan F. Barnes joins as special counsel in the Broker-Dealer Regulatory & Enforcement Group, where he advises broker-dealers, traders and investment advisers in connection with regulatory, securities enforcement, litigation, risk management and transactional matters. Mr. Barnes brings over 20 years of securities industry experience to SRZ, including managing the regulatory inquiries groups for two top-tier investment banks, conducting investigations for the NYSE, and counseling broker-dealers in all aspects of their businesses. He counsels clients on matters, including insider trading, market manipulation, short selling, investment banking, research, sales practices, supervision, net capital, money laundering, penny stock sales, finder arrangements, registration, and books and records. Mr. Barnes also performs anti-money laundering program audits. In his investment adviser practice, he advises on a range of regulatory and compliance matters, including regulatory investigations, registration requirements, advisory agreements, and policies and procedures. Mr. Barnes' transactional work focuses on commission-sharing, soft-dollar, clearing, software licensing, investment advisory and employment agreements, as well as applications for investment adviser registration, and Form ADV filings for investment

advisers and exempt reporting advisers. He received his B.A. from Binghamton University, State University of New York and his J.D. from Brooklyn Law School.

ASSOCIATES

William Barbera joins as an associate in the Broker-Dealer Regulatory & Enforcement Group. He received his B.A., *cum laude*, from Tufts University, his M.B.A. from Washington University Olin School of Business and his J.D., *cum laude*, from Washington University School of Law.

Derek N. Lacarrubba joins as an associate in the Broker-Dealer Regulatory & Enforcement Group. He received his B.S. from University of Delaware and his J.D. from University of Virginia School of Law.

Katherine M. Sullivan joins as an associate in the Broker-Dealer Regulatory & Enforcement Group. She received her B.A., *cum laude*, from Fordham University and her J.D., *cum laude*, from Brooklyn Law School, where she was the associate managing editor of *Journal of Law and Policy*.

Amanda C. Wichot joins as an associate in the Broker-Dealer Regulatory & Enforcement Group. She received her B.A., *cum laude*, from Rutgers University and her J.D. from New York Law School.

About SRZ's Broker-Dealer Regulatory & Enforcement Group

SRZ's Broker-Dealer Regulatory & Enforcement Group advises broker-dealers on all aspects of financial markets regulation. The lawyers work closely with clients to ensure compliance with the requirements of the U.S. Securities and Exchange Commission, the Federal Reserve Board, the Financial Industry Regulatory Authority and other securities industry SROs. The firm helps broker-dealers and their associated persons respond to regulatory examinations and inquiries, providing effective representation in a range of enforcement proceedings. SRZ lawyers have represented major broker-dealers, securities exchanges, service providers, analysts, traders and salespeople in regulatory investigations involving margin, securities lending, gifts and gratuities, market making, research, frontrunning, trading ahead and short sales.

SRZ is a “go to” firm on broker-dealer issues involving correspondent clearing, prime brokerage, net capital, margin, securities lending and customer protection. With lawyers who have years of trading experience, the firm is recognized for its knowledge of trading practices on the NYSE, Nasdaq and other securities exchanges.

Related People



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Practices

BROKER-DEALER REGULATORY AND ENFORCEMENT

Attachments

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