# Alan J. Brudner

**Partner**

White Collar and Internal Investigations

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**Corporate entities and individuals who need advice or representation in investigations and litigation have called upon Alan Brudner for more than 40 years. With experience both as a federal prosecutor and as head of litigation and investigations at one of the most prominent financial institutions in the world, Alan brings extensive knowledge, a multifaceted perspective and a practical approach to all of his matters.**

**Wise counsel, strategic thinking, experienced defense**

Alan has represented clients in a broad range of investigations by the Department of Justice, US Attorney's Offices, the Securities and Exchange Commission, FINRA, the Commodity Futures Trading Commission and other regulators. He has also represented clients in Congressional committee investigations. In addition, he represents clients in civil securities and business litigation, and has significant experience representing hospitals and public entities in False Claims Act cases.

As an assistant US attorney for the Southern District of New York, where he was a member of the Securities and Commodities Fraud Task Force, Alan was responsible for cases that included securities, bank, healthcare, insurance and federal program frauds. He then worked at UBS AG for 15 years, eight as head of litigation and investigations in the Americas for the UBS Investment Bank, where he managed all of the investment bank's litigation and enforcement matters. The bank's senior executives frequently called on Alan for clear-headed guidance, including how best to navigate the legal morass that engulfed the financial industry during the financial crisis of 2007-08. All of his clients get the benefit of his broad experience, his sensitivity to business concerns and his skill, discretion and good judgment in dealing with their legal issues as well as with the regulators, prosecutors and adversaries they face.

Alan has successfully tried complex cases before federal juries, represented clients in administrative hearings and argued appeals before the US Court of Appeals for the Second Circuit. He won a significant pro bono appeal in which the court held that a defendant is entitled to a writ of

## Practices

- Financial Markets Litigation and Enforcement
- Healthcare Litigation, Reimbursement and Regulation
- Litigation
- Privacy, Data and Cybersecurity
- Securities Litigation
- White Collar and Internal Investigations

## Industries

- Finance and Financial Markets

## Education

- JD, New York University School of Law
- AB, Vassar College, *Phi Beta Kappa, Omicron Delta Epsilon*

## Bar Admissions

- New York
- New Jersey

## Court Admissions

- US Supreme Court
- US District Court, Southern District of New York
- US District Court, Eastern District of New York
- US District Court, District of New Jersey

## Professional & Community Involvement

- Association of the Bar of the City of New York, Bioethical Issues Committee, Former Chair

habeas corpus if his conviction resulted from perjured testimony, even if the prosecutor was unaware of the perjury at the time of trial.

From 2019-2022, Alan served as chair of the Bioethical Issues Committee of the New York City Bar Association (NYCBA). In that capacity, he was frequently called on to provide assistance in formulating positions on healthcare policy issues and proposed legislation. During the pandemic, Alan moderated discussions on the NYCBA's *44th Street Podcast* on ethical issues in the allocation of scarce medical resources. He also participated as a panelist on legal education programs sponsored by the New York State Bar Association and the Network for Public Health Law on scarce resource allocation as well as COVID-19-related legal waivers and immunities enacted for the healthcare industry.

## Representative Experience

- Advise and represent a major financial institution in regulatory and litigation matters relating to the collapse of a family office client.
- Advised and represented traders in connection with antitrust and bid-rigging investigations and related litigation in the US Treasuries, SSA and GSE bond markets.
- Represented the chairman of a public manufacturing company in criminal and SEC investigations and litigation relating to market manipulation.
- Represented NYC Health + Hospitals Corporation in an administrative hearing and appeals relating to Medicaid reimbursement issues.
- Represented the City of New York and NYC Health + Hospitals Corporation in several unrelated False Claims Act cases. One case was dismissed with prejudice.
- Defended international bank in litigation over LIBOR submissions. Case was dismissed with prejudice.
- Conducted internal investigation on behalf of the audit committee of a large public company engaged in technology manufacturing and sales.
- Represented international bank in DOJ FIRREA investigation and civil litigation.
- Represent trading and sales personnel of several financial institutions in DOJ, CFTC and SEC investigations of FX markets and LIBOR submissions.

- Federal Bar Council, Summer Stipend Committee, Chair
- New York State Bar Association
- American Bar Association, Criminal Justice Section, White Collar Crime Committee, Foreign Corrupt Practices Act Subcommittee, former Co-Chair

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- Counsel to international bank on compliance policies and procedures related to the use of expert services and networks.
- Represent global financial institution in civil action over sale of warrants.
- Represent foreign trading concern in SEC insider trading investigation.
- Represent head of compliance of an industrial manufacturer in FCPA investigation.
- Represent broker-dealer in FINRA investigation relating to the supervision of a registered representative.
- Represent investment bank, traders and a securities analyst in various insider trading investigations.
- Represent C-Level corporate executives in SEC fraud investigations.
- Represent several bank executives in SEC investigations and litigation relating to fraud and corruption.
- Represent international bank in FINRA investigation and internal investigation of mismarking of trading positions.
- Represent purchaser of tax liens in DOJ bid-rigging investigation.
- Represent several private and public healthcare institutions and individuals in investigations, regulatory proceedings and False Claims Act litigation over billing, supervision and regulatory compliance issues.
- Represent chairman of a public company in market manipulation investigation.

## Recognitions

*Recognized or listed in the following:*

- *Chambers USA*
  - Litigation: White-Collar Crime & Government Investigations, 2022-2026
- Lexology Index
  - Business Crime Defence, 2014–2016
  - Investigations, 2014–2015
- *Super Lawyers*
  - New York, 2024-2025

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- *The Legal 500 United States*
  - Recommended Attorney, 2016–2017, 2019, 2026

## News

- Katten Earns Top Rankings in the Legal 500 US 2026 Guide (June 10, 2026)
- Katten Climbs in *Chambers USA* 2026 Rankings (June 4, 2026)
- Katten Attorneys Named to 2025 New York Metro Super Lawyers List (October 31, 2025)
- *Chambers USA* 2025 Ranks Katten as Leading Law Firm (June 5, 2025)
- Katten Attorneys Named to 2024 New York Super Lawyers, Rising Stars Lists (October 29, 2024)
- Katten Receives High Marks in *Chambers USA* Guide 2024 (June 6, 2024)
- Katten Boosts Rankings in *Chambers USA Guide 2023* (June 1, 2023)
- Katten Ranked Leading Law Firm by *Chambers USA* 2022 (June 1, 2022)
- Coronavirus (COVID-19) Resource Center (November 10, 2021)
- Katten Praised in The Legal 500 United States 2019 Guide (June 11, 2019)
- Katten Distinguished by *The Legal 500 United States* 2017 (May 31, 2017)
- Eighteen Katten Practices and 70 Attorneys Recognized by *The Legal 500 United States* 2016 (June 17, 2016)

## Publications

- Financial Markets and Funds *Quick Take* | Issue 49 (April 2026)
- Financial Markets and Funds *Quick Take* | Issue 38 (April 2025)
- Katten Partner Co-Authors Chapter on Covid-19 Waivers to AHLA's *Health Law Watch* (September 14, 2021)
- White Collar Crime: Business and Regulatory Offenses (May 2016)
- Second Circuit Reaffirms That Attorney-Client Privilege Is Not Waived By Sharing Documents With Parties Pursuant to a Common

Legal Interest—Even Where That Interest Has Commercial Objectives (November 20, 2015)

- Cyber-Attacks and Developments in Cybersecurity (November 18, 2015)
- SEC Enforcement Action Alleges an Adviser Failed to Adopt Adequate Cybersecurity Policies and Procedures; SEC Issues an Investor Alert on Data Theft (September 24, 2015)
- Fee Advancement Considerations Arise From Recent Delaware and Third Circuit Decisions (July 20, 2015)
- Cyber-Attacks: Threats, Regulatory Reaction and Practical Proactive Measures to Help Avoid Risks (June 24, 2015)
- SDNY Holds No Attorney-Client Privilege Applies to Communications With In-House Legal Department in China (December 13, 2013)
- Limiting Extraterritoriality Beyond Securities Laws (October 27, 2011)
- Recent Developments in Securities Law: Leading Lawyers on Navigating Increased Enforcement, Handling Disclosure Issues, and Creating Compliance Strategies (2011)
- FCPA and UK Bribery Act Risks Facing Financial Institutions (2010)

## Presentations and Events

- Health Law Section Fall Meeting Part 1: Ethical Issues And Legal Reform In The New COVID-19 Healthcare Environment (October 23, 2020) | *Panelist* | *Scarcity and Medical Futility Decisions Under Crisis Standards – Role of Immunity and Waivers Beyond the Pandemic*
- Bioethical Issues in the COVID-19 Pandemic: The Development and Distribution of Vaccines (September 10, 2020) | *Contributor*
- Immunities in the Face of the COVID-19 Human Rights and Public Health Crisis (June 30, 2020) | *Presenter*
- COVID-19: Ethical Issues in the Management of COVID-19 (June 25, 2020) | *Panelist*
- Bioethical Issues in the COVID-19 Pandemic: Resource Allocation, Triage Guidelines, & Other Concerns (May 14, 2020) | *Speaker*
- Financial Services Litigation Symposium (October 6, 2015) | *Host*
- The Weakest Link: Where Is the Achilles Heel of Your Cybersecurity Program? (June 9, 2015) | *Panelist*

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- Financial Services Litigation Symposium (October 16, 2014) | *Presenter*