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Katten Lands Former SEC Enforcement Chief Richard Marshall

New Partner to Strengthen Firm's Growing Financial Services Presence in New York

(NEW YORK) Katten Muchin Rosenman LLP announced today that Richard D. Marshall, a leading regulatory compliance attorney and former Securities and Exchange Commission (SEC) enforcement chief, has joined its New York office as a partner in the Financial Services practice.

Recognized among the nation's most highly regarded attorneys in the field of investment enforcement, Marshall specializes in SEC and Financial Industry Regulatory Authority (FINRA) investigations involving insider trading, market manipulation, marketing timing, financial fraud, conflicts of interest and disclosure issues. He represents financial institutions that are the subject of investigations by those agencies as well as by the Department of Justice and state securities regulators. Marshall counsels broker-dealers, investment companies and investment advisers on regulator issues, particularly relating to SEC and FINRA regulations. He also counsels clients on compliance and risk management issues and the handling of inspections.

"Katten's comprehensive financial services representation draws on the unparalleled depth of knowledge and real-world experience of attorneys like Rick," said Katten Chairman Vincent A.F. Sergi. "His broad skill set and exceptional experience in investment regulation strengthens Katten's already widely recognized abilities in the financial services industry."

Marshall provides extensive client advice regarding possible impacts of the Dodd-Frank Wall Street Reform and Consumer Protection Act and related regulatory rulemakings. Additionally, he provides time-sensitive advice on securities trading, ownership reporting and other investment regulation to a broad range of clients.

"Rick's proven track record on regulatory compliance issues across financial services representing a broad range of clients will ensure that Katten clients are receiving the most impactful regulatory and litigation services possible," said Henry Bregstein, partner and global co-chair of the firm's Financial Services practice.

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Formerly a partner at Ropes & Gray in New York, Marshall worked for several years for the SEC as both a branch chief in the Division of Enforcement in Washington, D.C. and as a senior associate regional administrator in New York, where his staff conducted inspections of investment companies and investment advisers, and instituted enforcement actions against those entities. Marshall's arrival at Katten bolsters the growing presence of the firm's Financial Services practice in New York, where partners Wendy Cohen and Allison Yacker recently were named co-heads.

Katten is a full-service law firm with approximately 650 attorneys in locations across the United States and in London and Shanghai. Clients seeking sophisticated, high-value legal services turn to Katten for counsel locally, nationally and internationally. The firm's core areas of practice are corporate, financial services, insolvency and restructuring, litigation, real estate, environmental, commercial finance, intellectual property, structured finance and securitization, and trusts and estates. Katten represents public and private companies in numerous industries, including a third of the Fortune 100, as well as a number of government and nonprofit organizations and individuals.

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