

For Immediate Release

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Contact: Jackie Heard
312.902.5450
jackie.heard@kattenlaw.com

Jodi Kawada
312.902.5370
jodi.kawada@kattenlaw.com

Attorney David Y. Dickstein Joins Katten's New York Financial Services Practice as a Partner

(NEW YORK) Katten Muchin Rosenman LLP today announced that David Y. Dickstein has joined the firm as a partner in its Financial Services Practice out of New York. Mr. Dickstein focuses his work on providing counsel to hedge funds, investment companies, investment advisors and broker-dealers on regulatory, compliance and operational issues. Additionally, he has broad experience in advising businesses responding to investigations by the United States Securities and Exchange Commission (SEC). Prior to joining Katten, Mr. Dickstein was a partner in the New York office of K&L Gates LLP, where he spent his entire career since graduation from law school.

“We are pleased to welcome David and believe he will be a great addition to our Financial Services Practice, especially in the areas of regulatory and compliance,” said Vincent A. F. Sergi, Katten’s national managing partner.

Fred M. Santo, head of Katten’s New York Financial Services Group, said, “Mr. Dickstein is an attorney of the highest intellectual quality and will bring both practical judgment and high technical skill to our growing Financial Services Practice.”

Mr. Dickstein regularly counsels investment advisors on registration and regulatory matters, such as the need for registration, conflict of interest disclosures, soft dollars and best execution, firm advertising and marketing, federal and state pay-to-play matters, trade allocations, personal trading and SEC inspections. Mr. Dickstein also advises broker-dealers on registration and ongoing compliance matters, mutual fund supermarkets on mutual fund distribution issues, and brokerage and advisory firms in structuring and offering new wrap fee programs and other financial products.

Mr. Dickstein earned his JD from Columbia University Law School in 1997, where he was a Harlan Fiske Stone Scholar, and his BA, *magna cum laude*, from Yeshiva College in 1991, where he received the Chaplain Joseph I. Hoenig Memorial Award for Excellence in Psychology.

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Katten's Financial Services Practice advises a broad range of participants in the financial services arena, including broker-dealers, futures commission merchants, investment advisors, finance companies, investment bankers, futures and securities exchanges, commodity trading advisors, pension funds, banks and insurance companies, as well as investment vehicles such as hedge funds, commodity pools, venture capital funds and private equity funds, securitization vehicles, mutual funds and bank collective investment funds. Katten attorneys are well-versed in the latest developments in the industry, and several have previously held senior positions with regulatory agencies or have been in-house counsel at financial services firms.

Katten is a full-service law firm with more than 600 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 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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