

# Paul McCurdy

## Partner

New York Office

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paul.mccurdy@katten.com



### Practices

FOCUS: Financial Markets and Funds

Broker-Dealer Regulation

Business Succession Planning

Employee Benefits and Executive Compensation

White Collar and Internal Investigations

### Industries

Family Offices

Finance and Financial Markets

### Education

JD, Albany Law School

AB, Lafayette College

### Bar Admissions

Connecticut

New York

### Court Admissions

US Supreme Court

US Court of Appeals, Second Circuit

US District Court, Southern District of New York

US District Court, Eastern District of New York

US District Court, District of Connecticut

US District Court, Northern District of Illinois

### Community Involvements

Financial Industry Regulatory Authority, Arbitrator Chairperson

Securities Industry and Financial Markets Association, Legal & Compliance committee

Paul McCurdy is known for the long-standing relationships he has with his financial services industry clients. He provides creative and efficient counsel to retail, clearing and direct access broker-dealers, investment banking, advisory firms and family offices. Paul focuses on strategically navigating both opportunities and challenges his clients face, particularly when it comes to regulatory compliance, enforcement, corporate and litigation matters.

### A trusted business collaborator with his clients

Steeped in decades of experience, Paul listens to and understands the unique needs of his clients. His responsiveness and client-first approach fuels his ability to help them achieve their business goals.

Paul has particular experience advising broker-dealer clients with a variety of matters, including business strategy, investigations, examinations, enforcement proceedings, and state and federal registration. The depth and breadth of his regulatory knowledge includes anti-money laundering, trading, customer complaints, insider trading, clearing agreements, supervision, regulatory capital, short-selling and finder arrangements. Throughout his career, Paul has counseled and defended witnesses in regulatory matters before the Securities and Exchange Commission (SEC), the US Department of Justice, the Financial Industry Regulatory Authority (FINRA) and other government agencies. He also regularly represents senior securities industry executives in employment agreement negotiations.

### Representative Experience

- Represented domestic and international broker-dealers in complex AML investigations.\*

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Connecticut Bar Association  
New York State Bar Association  
Lawyers For Children America, pro bono  
volunteer  
Cristo Rey New York High School,  
Trustee

- Represented a fully disclosed clearing firm in an arbitration resulting in the recovery of 100 percent of claims plus attorneys' fees.\*
- Represented clients in dozens of NYSE hearing panel decisions and FINRA letters of acceptance, waiver and consent.\*
- Represented an international broker-dealer in a mutual fund B-share investigation.\*
- Represented former NYSE directors in litigation with the New York Attorney General.\*
- Represented numerous broker-dealers in 15c3-1, 15c3-3 and supervisory investigations.\*
- Represented retail firms in dozens of regulatory investigations and arbitrations.\*
- Represented NYSE specialist in highly politicized, acrimonious 5-week SEC trial.\*
- Represented electronic platform broker-dealer in cutting-edge, high-profile SEC Reg SHO investigation.\*
- Represented electronic platform broker-dealers in bet-the-company TRO litigation and arbitration.\*

\*Experience prior to Katten

## Recognitions

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- AV Preeminent Peer Review Rating by LexisNexis Martindale-Hubbell
- *Chambers USA*
  - Financial Services Regulation: Broker Dealer (Compliance), 2008–2012, 2014–2016
- Super Lawyers
  - New York, 2015–2019

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- The Legal 500 United States
  - Recommended Attorney, 2021

## News

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- Katten Receives High Marks in Derivatives, M&A and Securitization in The Legal 500 United States 2021 Guide (June 10, 2021)
- Top Securities Industry Attorney Joins Noted Katten Financial Services Group (August 17, 2020)

## Publications

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- The SEC Clarifies Status of Institutional Family Offices for Purposes of Regulation Best Interest (March 22, 2021)
- SEC Proposal to Exempt Certain "Finders" from Broker-Dealer Registration May Allow Significant Capital Raising Activities by Non-Registered Persons (October 19, 2020)
- The Uncertain State of FINRA Arbitration | *Practical Law The Journal: Litigation and Practical Law The Journal: Transactions & Business* (February/March 2015)
- *Corporate & Financial Weekly Digest* (Weekly) | *Author*

## Presentations and Events

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- Banding Together: Reddit, Robinhood and Regulatory Response to Market Populism (May 6, 2021) | *Panelist*
- Katten's Annual Financial Markets Litigation and Enforcement Symposium Series (October 15, 2020) | *Panelist* | *Hot Topics in Securities Regulatory Enforcement.*

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- Legal Executive Institute's 26th Annual Marketing Partner Forum (January 24, 2019) | *Moderator* | *The Halycon Days of Financial Services*
- Legal Executive Institute's 24th Annual Marketing Partner Forum (January 25, 2017) | *Moderator* | *The Perfect Pitch: From Coaching to Collaboration and Commitment*
- Legal Executive Institute's 22nd Annual Marketing Partner Forum (January 22, 2015) | *Presenter* | *From Origination to Collaboration: Establishing the Right Business Development Culture in Your Firm*
- Legal Executive Institute's 21st Annual Marketing Partner Forum (January 24, 2014) | *Panelist* | *Strategies for Taking Business Development to the Next Level*
- NPAC Annual International Conference on Arbitration Matters (March 16, 2013) | *Panelist* | *U.S. Arbitration Case Trends*