

For Immediate Release

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Top Securities Industry Attorney Joins Noted Katten Financial Services Group

(NEW YORK) Katten today announced that longtime securities industry attorney Paul McCurdy has joined its Financial Markets and Funds (FMF) group in New York. McCurdy led the broker-dealer regulatory practice at his previous firm for more than 20 years, was an executive committee member for 12 years and was firm chairman for three years.

“Paul has well-earned credibility and a sterling reputation for applying his proven leadership skills and exhaustive knowledge of the securities industry to help clients with all aspects of their business. He is an ideal fit for our industry-leading team. We very much look forward to working with him,” said Lance Zinman, global chair of FMF.

McCurdy represents retail, clearing and direct access broker-dealers, investment banking and advisory firms in regulatory, enforcement, compliance, corporate and litigation matters. His work includes internal investigations, cycle and risk-based examinations, enforcement proceedings and state registration matters.

More specifically, clients rely on McCurdy for counsel regarding anti-money laundering, trade disputes, customer complaints, clearing agreements, regulatory capital, short-selling and insider trading, to name just some of the issues he addresses. He has advised and defended witnesses in regulatory matters in more than 200 interviews before the Securities and Exchange Commission (SEC), the US Department of Justice (DOJ), the Financial Industry Regulatory Authority (FINRA) and other government agencies.

McCurdy prides himself on his longstanding client relationships, many of which span decades. He assists broker-dealers in their application and start-up phases, in developing compliance procedures, and in drafting and reviewing counterparty and customer documents, and give-up and introducing broker agreements. In addition, he negotiates brokerage-related services and high-level employment agreements for senior securities industry executives.

A frequent public speaker on emerging legal and regulatory issues, McCurdy began his career as a Litigation and Corporate associate at New York-based national law firm Kelley Drye & Warren LLP in 1987. He ascended to chairman of the firm in 2012, having been a member of the executive and compensation committees and chairman of the attorneys committee.

“Katten is a solid leader in the financial services industry, well-known as a one-stop resource with a deep bench of talent and some of the most experienced litigation and regulatory enforcement attorneys there are,” McCurdy said.

“At every level, I thoroughly enjoyed working with my former colleagues,” he added. “I wish them all the best as I prepare for this exciting new opportunity that I know will greatly benefit my clients.”

Katten is a full-service law firm with nearly 700 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 include commercial finance, corporate, financial markets and funds, insolvency and restructuring, intellectual property, litigation, real estate, structured finance and securitization, transactional tax planning, and trusts and estates. Katten represents public and private companies in numerous industries, as well as a number of government and nonprofit organizations and individuals. For more information, visit katten.com.

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