Financial Services Regulatory Broker Dealer (Compliance) – Chambers USA 2011

June 2011

National

Financial Services Regulatory Broker Dealer (Compliance)

Band 3

The Firm: Proskauer enters the rankings for the first time on the basis of strong endorsements of its broker dealer practice. The team has successfully built a profile for securities litigation, enforcement and advisory work. It is defending a number of significant institutions, including BNY Mellon and Oppenheimer in securities litigation and has assisted a number of multinational entities in securities enforcement proceedings.

Key Individuals: Kathy Rocklen is representing several multinational lending institutions in FINRA and state Attorney General investigations. One client explained: "She is incredibly smart and tenacious. She is somebody you want to have in your corner."

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