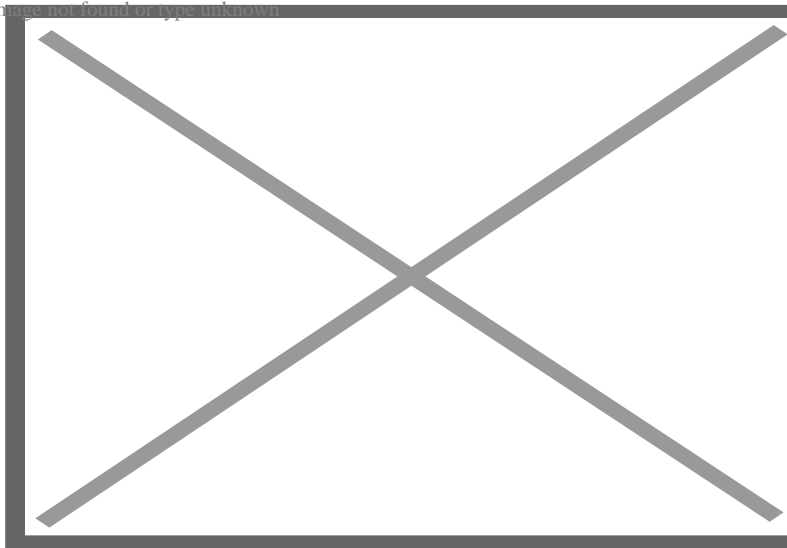


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Contact

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Kathy H. Rocklen is a partner in the Corporate Department and co-head of the Broker-Dealer and the Financial Institutions Groups. She has 40 years of experience and insights gained through a diverse practice, and understands the brokerage business from the street side, a regulator's perspective and as a member of a global law firm. Kathy joined Proskauer in 2000 after serving as general counsel for a leading UK investment bank, a regulator for the New York Stock Exchange, and previous private practice.

Kathy counsels global financial institutions, investment advisers, hedge funds, private equity firms, commercial banks and self-regulatory organizations on regulatory, transactional, enforcement and litigated matters. She advises clients on the formation of regulated entities, SEC, SRO and state regulation and compliance, domestic and cross-border capital markets transactions, mergers, acquisitions and joint ventures, investment product development, internal investigations, defense of civil enforcement proceedings and criminal prosecutions, and securities arbitrations and litigation.

Kathy also serves as outside general counsel for clients, advising on regulated and commercial activities, corporate governance and director and officer liability, conflict and risk management, intercompany transactions and global defense and

investigations.

Kathy is an adjunct professor of law at Fordham University School of Law, where she teaches broker-dealer regulation. She also serves as Vice Chair and Treasurer of New York Lawyers for the Public Interest, one of New York's leading not-for-profit civil rights law firms, and is a former Vice President of the New York City Bar. Kathy is the past Chair of Proskauer's Diversity Committee.

Practices

Broker-Dealer, White Collar Defense & Investigations, Securities Litigation, Capital Markets

Industries

Asset Management , Private Equity, Financial Services

Education

New England School of Law, J.D., 1977

magna cum laude

Managing Editor, *New England Law Review*

Barnard College, Columbia University, B.A., 1973

Admissions & Qualifications

New York

Court Admissions

U.S. District Court, New York, Eastern District

U.S. District Court, California, Northern District

U.S. District Court, New York, Southern District

Memberships

American Bar Association

New York State Bar Association

New York City Bar (Former Vice President and Former Chair of Executive Committee)

New York Lawyers for Public Interest (Vice Chair, Treasurer and Member of Executive Committee)

Cambodian Community Dream Organization

Securities Industry and Financial Markets Association (SIFMA)

Financial Women's Association

Friends of the Auschwitz-Birkenau Foundation of Poland (Member, Board of Directors)

Awards & Recognition

Best Lawyers in America 2008-2021

Chambers USA: Financial Services Regulatory Broker Dealer Nationwide 2011

New York Super Lawyers 2007-2019

Who's Who in America 1996-2014

Who's Who of American Women 1989-2014

Who's Who in Finance and Business 1989-2014

Who's Who in American Law 1987-2014

Outstanding Young Women of America, 1976

"Top 50 Women," New York Metro Super Lawyers, 2019