

Mark M. Attar

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With over 25 years in the financial services regulatory sector, including 12 with the U.S. Securities and Exchange Commission (SEC)'s Division of Trading and Markets, Mark Attar counsels domestic and international market participants on federal securities laws and market regulation. His clients include broker-dealers, investment advisers, digital asset firms, trading platforms, clearing organizations, institutional investors and credit rating agencies.

Mark's practice includes representing clients on all aspects of their businesses, including examination and enforcement with a particular focus on SEC and Financial Industry Regulatory Authority (FINRA) financial and operational requirements, including net capital, custody, credit, books and records, reporting and risk assessment rules. He regularly advises broker-dealers on registration and FINRA membership, including new and continuing membership applications, and helps SEC registrants and FINRA members satisfy independent consultant undertakings in enforcement matters.

As a senior special counsel and branch chief in the SEC's Division of Trading and Markets, Mark managed lawyers responsible for administering the SEC's broker-dealer financial responsibility rule program. He advised on rulemaking, provided interpretive guidance and no-action letters to market participants, and served as a primary liaison for enforcement and examination matters. Mark also represented the SEC in international initiatives, including the International Organization of Securities Commissions (IOSCO) and Joint Forum work streams.

SPEAKING ENGAGEMENTS

- Presenter, "Financial Services Broker-Dealer Workshop," Stradley Ronon

PUBLICATIONS

- Co-author, "Investment Funds & Private Equity, United States," *IBFD*
- Author, "Chapter 22: Net Capital, Customer Protection, and Financial Reporting Broker-Dealer Regulation (Second Edition)," *PLI*
- Co-author, "Banking [on] Blockchain: A Legal and Regulatory Primer, Chapter, 4," American Bar Association

FOCUS

Broker-Dealer
Fintech
Investment Advisers
Investment Management
Registered Investment Companies
Securities Litigation & Enforcement

BAR ADMISSIONS

District of Columbia
New York

EDUCATION

LL.M., Georgetown University
Law Center
J.D., New York Law School
B.A., Franklin & Marshall College

