

Colin H. Cassidy

Managing Counsel

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Colin Cassidy focuses his practice on the financial services industry, handling matters pertaining to securities litigation and regulatory proceedings, including securities lawsuits in federal and state courts, arbitration proceedings, enforcement actions and internal investigations. His clients range from broker-dealers and investment advisers to public and private companies.

Prior to joining Stradley Ronon, Colin served as counsel to a dual-registered, technology-led investment adviser and broker-dealer, where he advised on regulatory, compliance and corporate governance matters. Colin also served as in-house counsel to a network of fund managers investing across asset classes, where his responsibilities included advising on regulatory and compliance matters, managing the full investment transaction life cycle, fund formation and sponsor-level transactions.

Colin also served as counsel at an international law firm where he focused on matters brought by the Financial Industry Regulatory Authority (FINRA), U.S. Securities and Exchange Commission (SEC), the U.S. Commodity Futures Trading Commission (CFTC) and other local, national and international regulatory agencies.

FOCUS

Securities Litigation & Enforcement
Litigation
Broker-Dealer

BAR ADMISSIONS

New York

COURTS

U.S. Court of Appeals for the
Second Circuit

U.S. District Court for the Eastern
District of New York

U.S. District Court for the Southern
District of New York

EDUCATION

J.D., Hofstra University School of Law

B.A., *cum laude*, Tulane University

