

# Frederic M. Krieger

## Co-Chair, Broker-Dealer

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Fred Krieger has successfully helped a variety of clients navigate complex financial services regulation, corporate compliance and firm governance matters. Fred has extensive knowledge of securities market regulation, both internationally and domestically, including product, bank, broker-dealer, and investment management regulation, corporate governance, Securities and Exchange Commission and FINRA examinations, investigations and inquiries, internal investigations and compliance advice and training.

In addition to his high-profile financial services clients, Fred also represents international industrial companies in the development of global codes of conduct, focusing on employment practices, anti-corruption, government sanctions, AML and KYC and other key policies related to ethical business culture and compliance.

A leader in the industry, Fred has held senior positions at broker-dealers, exchanges, global banks and in government. As a former trial attorney in the Trial Unit of the SEC's Division of Enforcement, Fred litigated securities cases in various federal courts across the country. He also worked at several law firms, practicing as a broker-dealer and financial services lawyer and litigator. Fred was associate general counsel of the Chicago Board Options Exchange, responsible for market structure and regulatory rules, and vice president of New York Stock Exchange – Regulation, where he led its Regulatory Risk Group.

Fred has held various leadership roles in the investment banking industry including global head of compliance at Charles Schwab; managing director of Citi Geneva Capital Strategies; managing director, head of corporate and investment banking compliance for fixed income, emerging markets and derivatives at Citigroup; and general counsel at leading asset-backed securities dealer KGS-Alpha Capital Markets.

## RESULTS

- developed policies and procedures for licensing sales agents and advisors in all states
- successfully defended a stock transfer agent against a large monetary claim allegedly due to the transfer agent causing delays in the sale of stock by a trust

## FOCUS

Investment Management  
Broker-Dealer  
Investment Management Litigation  
Securities Litigation & Enforcement

## BAR ADMISSIONS

California  
Illinois  
New York  
Pennsylvania  
District of Columbia

## EDUCATION

J.D. Emory University School of Law  
B.A., *cum laude*, University  
of Pennsylvania

## MEMBERSHIPS

Board Member, The Center for Anti-Violence Education  
Former Member, Business Conduct Committee, Chicago Board Options Exchange  
Former Member, Business Conduct Committee, Philadelphia Stock Exchange  
Former Chair, Compliance Committee, Bond Market Association  
Former Chair, Compliance Committee, Emerging Markets Trader Association  
Former Member, Steering Committee, Securities Houses Compliance Officers Group (London)  
Former Member, Compliance Committee, London Investment Banking Association  
Former Member, Executive Committee, Security Industry Association  
Former Member, Various Committees, SIFMA  
Former Member, Emory University School of Law Advisory Board



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- developed comprehensive policies and procedures for the management and oversight of various sales and trading activities
- developed comprehensive codes of conduct for regulated financial services companies and unregulated companies (including a multi-national pharmaceutical company) to assure compliance with privacy regulations, anti-money laundering and know-your-customer obligations, anti-corruption laws, human resources requirements, information security and whistleblowing
- developed comprehensive anti-money laundering and know-your-customer policies and procedures for regulated and unregulated entities, domestic and foreign

## **SPEAKING ENGAGEMENTS**

- Presenter, “Financial Services Regulatory Workshop,” Stradley Ronon CLE
- Panelist, “Financial Services Regulatory Forum” Stradley Ronon CLE Webcast
- Panelist, “Challenging Issues for In-house Counsel & Compliance Professionals in Internal Investigations,” Stradley Ronon CLE
- Panelist, “Institutional Broker-Dealer Issues,” National Conference of the National Society of Compliance Professionals
- Speaker, “Annual Internal Investigations,” Client Presentation
- Panelist, “Legal Issues Relating to Handling of Internal Investigations,” Client Presentation
- Speaker, “Institutional Broker-Dealer Issues,” Regional SIFMA Compliance & Legal Division Conference
- Fred has presented at SIFMA Compliance & Legal Annual Seminar and other notable industry compliance seminars and conferences on topics including:
  - developing and administering a firm surveillance program
  - conducting internal investigations
  - advisory sales and trading issues
  - derivatives sales and trading issues

## **PUBLICATIONS**

- Co-author, “Federal Judge Issues Unusual Invitation to CFTC to Comment on SEC Enforcement Action,” Securities Regulation Daily
- Author, “The Answer Has to Lie in Increasing Bank Deposit Insurance to Cover Deposits Regardless of Size,” New York University School of Law Compliance & Enforcement Blog
- Co-author, “Attorney-Client Privilege and Work Product Doctrine” ABA Monograph



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## IN THE COMMUNITY

Fred serves on the Board of Directors for The Center for Anti-Violence Education. This New York-based not-for-profit provides workshops and support programs to empower people in dealing with violence against various groups of people. He also served as a former board member of Jewish Vocational Services in San Francisco, California, which equips newly arriving Bay Area citizens with language and vocational skills to achieve their vocational goals.

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