



J. BRADLEY BENNETT

MANAGING DIRECTOR

EXPERTISE

- ✓ Broker-Dealer Regulation and FINRA Rules
- ✓ Federal Securities Laws
- ✓ Internal Investigations and Due Diligence
- ✓ Insider Trading
- ✓ Financial Frauds
- ✓ Anti-bribery Laws

EDUCATION

Georgetown University Law Center
Juris Doctor

St. Lawrence University
Bachelor of Arts

EMPLOYMENT HISTORY

Baker Botts LLP
Senior Partner
2017-2019

Financial Industry Regulatory Authority
EVP, Chief of Enforcement
2011-2017

Baker Botts LLP
Equity Partner
2001-2010

Miller, Cassidy, Larocca & Lewin
Equity Partner
1992-2000

U.S. Securities and Exchange Commission
Attorney, Division of Enforcement
1989-1992

OTHER

Admitted to Practice:
New York State Bar
District of Columbia Bar

Regular speaker at SIFMA C&L, American Bar Association, Practicing Law Institute, and before other industry groups

J. Bradley Bennett with over 30 years of experience as attorney and former Chief of Enforcement at FINRA is an expert in broker-dealers' financial regulation. His practice areas included U.S. Securities and Exchange Commission's ("SEC") and Financial Industry Regulatory ("FINRA") enforcement proceedings, internal investigations, the Foreign Corrupt Practices Act (FCPA), shareholder litigation, and criminal matters involving all manner of business fraud, and counseling senior management and Boards of Directors on governance and compliance obligations under Sarbanes-Oxley.

Prior to joining SEDA, Mr. Bennett was a Senior Partner in the White Collar and Corporate Investigations Group at Baker Botts LLP. He previously served as Executive Vice President and Chief of Enforcement of FINRA. In that capacity, he led a team of 275 lawyers and investigators, and directed investigations and formal FINRA disciplinary actions against broker-dealers and their associated persons for violations of FINRA rules and federal securities laws.

Mr. Bennett's private practice covered SEC and FINRA enforcement proceedings, internal investigations, the Foreign Corrupt Practices Act, shareholder litigation and matters involving all manners of business crimes. His private practice experience includes representing Fortune 100 issuers in connection with multifaceted high-profile civil and criminal inquiries, representing the office of a senior member of Congress in connection with SEC review of treatment of legislative information, and counseling senior management and boards of directors on governance and compliance obligations under Sarbanes-Oxley.

Mr. Bennett's trial practice has involved the defense of a former general counsel of the Department of the Treasury charged with mail and securities fraud, the defense of civil insider trading charges and several significant trials on behalf of the SEC.

Mr. Bennett started his career at the SEC as a senior attorney in the Division of Enforcement, with responsibility for cases covering all facets of securities law, including accounting, broker-dealer regulation, tender offers and insider trading.

He taught SEC Enforcement Proceedings at Catholic University School of Law from 2003-2012, as well as courses on securities law, evidence and expert witnesses for the American Bar Association, National Institute for Trial Advocacy, and the District of Columbia Bar.

Mr. Bennett regularly appears in print and on television offering commentary on criminal and securities law issues, including appearances on MSNBC, The New York Times, Fox News, Bloomberg TV and The Wall Street Journal.