StradleyRonon

Frederic M. Krieger

Partner -- Co-Chair, Broker-Dealer

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With extensive knowledge of securities markets regulation — both internationally and domestically — Frederic Krieger is well situated to advise and represent financial services firms of all sizes on product, bank, broker-dealer and investment management regulation; corporate governance; U.S. Securities and Exchange Commission (SEC) and Financial Industry Regulatory Authority (FINRA) examinations, investigations and inquiries; internal investigations; compliance advice and training; and related civil litigation.

Fred also represents international industrial companies in the development of global codes of conduct, focusing on employment practices, anti-corruption, government sanctions, anti-money laundering (AML) and know your customer (KYC), and other key policies related to ethical business culture and compliance.

As co-chair of the firm's broker-dealer practice, Fred is a thought leader on the issues facing broker-dealers, underwriters, distribution participants and other financial intermediaries. He co-leads the firm's financial services broker-dealer workshops, an ongoing series that covers topics of interest relating to broker-dealer activity.

Fred has also presented at the Securities Industry and Financial Markets Association (SIFMA)'s Compliance & Legal Seminar and other notable industry compliance conferences on developing and administering a firm surveillance program, conducting internal investigations, derivatives sales and trading issues, and fixed income and other securities issues.

Fred has held senior positions at broker-dealers, exchanges, global banks and in government. A former trial attorney in the Trial Unit of the SEC's Division of Enforcement, Fred has litigated securities cases in various courts across the United States. Fred was also associate general counsel of the Chicago Board Options Exchange (now Cboe Global Markets) and vice president of NYSE Regulation, where he led its Regulatory Risk Group.

In the private sector, Fred has served as a managing director of a major bank with senior responsibilities in compliance for fixed income, derivatives and emerging markets. Fred also served as general counsel of a leading institutional asset-backed securities dealer and global head of compliance for a large broker-dealer.

Services

- Broker-Dealer
- Investment Management
- Securities & Regulatory Enforcement
- Financial Services Litigation & Enforcement
- Government Enforcement, Investigations & Litigation
- Government Affairs
- Investment Advisers
- Compliance Counseling

Education

- Emory University School of Law (J.D.)
  - Dean's List
  - Research Editor, Emory Law Journal
- University of Pennsylvania (B.A., *cum laude*)

Admissions

- California
- District of Columbia

Featured Representative Matters

- 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.
- Developed comprehensive codes of conduct for regulated financial services companies and unregulated companies (including a multinational pharmaceutical company) to ensure compliance with privacy regulations, AML and KYC obligations, anti-corruption laws, human resources requirements, information security and whistleblowing.
- Developed policies and procedures for licensing sales agents and advisers in all states.
- Developed AML and KYC policies and procedures for regulated and unregulated entities, domestic and international.
- Developed policies and procedures for the management and oversight of various sales and trading activities.
- Defended a broker-dealer against a large monetary claim for losses incurred relating to commodities trade execution and reporting.
- Represented banks, broker-dealers and individuals in SEC and Commodity Futures Trading Commission (CFTC) investigations related to sales practices and trading activities, and pricing of securities.
- Represented firms and individuals in FINRA investigations and inquiries related to pricing of securities, sales practices and marketing of services.
- Prepared banks and broker-dealers for SEC and FINRA examinations.

Community Impact

Fred serves on the board of directors for Xiente, a nonprofit based in Philadelphia providing resources and tools to individuals and families that promote economic and social mobility. He is a former board member for Jewish Vocational Service in San Francisco, a nonprofit working to close opportunity gaps in employment, and for the Center for Anti-Violence Education, a New York-based not-for-profit that aims to address violence and threats of violence in local communities through educational programs.

Memberships

- 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 Compliance and Legal Division

Recognitions

- *The Legal 500* US Elite (Tier 1: New York: Banking & Finance) (2026)

Featured 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

- Illinois
- New York
- Pennsylvania

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

Featured Publications

- Co-author, “Investment Funds & Private Equity, United States,” *IBFD*
- 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