StradleyRonon

Greg DiMeglio

Partner -- Co-Chair, Securities & Regulatory Enforcement

gdimeglio@stradley.com
Washington, DC: 202.419.8401

Greg DiMeglio has been a securities and regulatory enforcement lawyer for nearly 30 years. At Stradley Ronon, Greg has spent more than two decades representing investment advisers, broker-dealers, public companies, boards of directors, board committees, auditors, other entities and individuals in all manner of examinations, investigations and enforcement actions by the U.S. Securities and Exchange Commission (SEC), U.S. Department of Justice, other federal and state regulators, and industry self-regulatory organizations. Greg has also led numerous complex internal investigations designed to assist clients in preventing or limiting the scope of potential enforcement action. He has been named repeatedly to the *Best Lawyers in America.* Greg previously spent eight years in the SEC's Division of Enforcement.

At Stradley Ronon, Greg has represented both traditional and "robo" investment advisers, fund administrators, fund auditors, senior officers, board members, portfolio managers, chief compliance officers and other individuals in connection with SEC sweeps and other investigations involving alleged fraud, breach of fiduciary duty, performance advertising, "pre-arranged" and other cross-trading, "odd lot" and other valuation issues, liquidity, investment limitations, algorithmic trading, tax loss harvesting, the custody rule, advisory, 12b-1 and other fees, principal trading, trade allocation, whistleblowers, collateralized debt obligations, private equity funds, revenue-sharing arrangements, numerous conflicts of interest and other disclosure issues, auditing standards, compliance policies and procedures, and books and records, among other things.

Greg has also represented broker-dealers, supervisory and compliance personnel and other individuals in SEC and FINRA investigations concerning insider trading and other compliance policies and procedures, sales practices, supervision, equity-indexed and variable annuities, Regulation S-P and Regulation SHO. He has represented celebrities and other individuals in SEC initial coin offering (ICO), financial fraud, Foreign Corrupt Practices Act, insider trading, and transfer agent-related investigations.

Greg has conducted numerous whistleblower-generated and other internal investigations on behalf of public company audit committees, banks, investment advisers, mutual fund independent trustees, broker-dealers and insurance companies regarding, for example, financial fraud, accounting issues, loan-loss assessment, cross-trading, trade allocation, valuation procedures, selling away and outside business activities.

Services

- Securities & Regulatory Enforcement
- Government Enforcement, Investigations & Litigation
- Financial Services Litigation & Enforcement
- Internal Investigations
- Litigation
- Investment Management
- Investment Advisers
- Retail Alternative Funds
- Exchange-Traded Funds (ETFs)
- Private Investment Funds
- Registered Investment Funds
- Broker-Dealer
- Digital Assets, Tokenization & Blockchain
- Corporate, Mergers & Acquisitions, and Securities
- Cybersecurity, Data Protection & Privacy
- Compliance Counseling
- White Collar Criminal Defense

On behalf of investment advisers, funds and fund trustees, Greg has assisted in responding to deficiency letters, avoiding enforcement referrals and handling other matters related to SEC sweep, targeted and routine examinations.

Prior to joining the firm, Greg was a senior counsel in the SEC's Division of Enforcement. At the SEC, Greg was responsible for a number of significant enforcement investigations and actions involving public companies and broker-dealers and received a Division of Enforcement Director's Award.

Featured Representative Matters

- Represented an investment adviser and a portfolio manager in an SEC insider trading investigation.
- Represented an investment adviser and individuals in an SEC enforcement investigation involving valuation, cross-trading and disclosure issues.
- Represented a "robo" investment adviser and individuals in an SEC enforcement investigation concerning disclosure issues.
- Represented a portfolio manager in an SEC enforcement investigation involving cross-trades.
- Represented an investment adviser and its owner in an SEC enforcement investigation concerning principal trades.
- Represented an investment adviser and individuals in an SEC enforcement investigation involving investment limitations and trade errors.
- Represented a public company senior executive in an SEC financial fraud investigation.
- Represented a celebrity in an SEC enforcement investigation concerning an ICO.
- Represented investment advisers and owner in SEC enforcement investigations involving performance advertising.
- Represented an investment adviser in an SEC enforcement investigation concerning Section 9(a) of the Investment Company Act of 1940.
- Represented an investment fund auditing firm and individuals in an SEC enforcement investigation involving auditing standards and an investment adviser's fraud.
- Represented a fund administrator in an SEC enforcement investigation concerning gatekeeper violations.
- Represented a supervisor in an SEC enforcement investigation of a transfer agent involving various rule violations.
- Represented an investment adviser in an SEC enforcement investigation of collateralized debt obligation asset selection and ratings.
- Represented a public company audit committee in, and reported to governmental authorities and company auditor regarding, an internal investigation concerning residential loan-related improprieties.
- Represented a bank in, and reported to the Office of the Comptroller of the Currency regarding, an internal investigation involving a commercial loan portfolio.
- Represented a public company audit committee in, and reported to governmental authorities and company auditor regarding, an internal investigation concerning fictitious loans and other fraudulent conduct at the company's equipment financing subsidiary.

Memberships

Education

- University of Virginia School of Law (J.D.)
- Cornell University (B.A.)

Admissions

- District of Columbia
- Virginia
- U.S. Court of Appeals for the Fourth Circuit
- U.S. District Court for the Eastern District of Virginia

- Member, D.C. Bar, Corporation, Finance and Securities Law Section
- Member, Virginia State Bar

Recognitions

- *The Best Lawyers in America* (Litigation – Securities) (2018-26)
- SEC Division of Enforcement Director's Award (2005)

Featured Speaking Engagements

- Speaker, "The Shifting Landscape and Future of the SEC's Exams and Enforcement Programs," Investment Company Institute's 2025 Securities Law Developments Conference
- Heard in the Hall: Stradley Attorneys Share Their Thoughts on the 2025 ICI Investment Management Conference Sessions
- Panelist, SCOTUS Limits SEC Authority. What Does It Mean for Investment Advisers and Funds? Stradley Ronon
- Presenter, Financial Services Broker-Dealer Workshop, Stradley Ronon
- Presenter, Investment Management Regulatory Update Seminar, Stradley Ronon
- Panelist, SEC Enforcement and Investment Advisers: 2023 Is in the Books. How Will 2024 Look? Stradley Ronon
- Presenter, Financial Services Regulatory Workshop, Stradley Ronon
- Presenter, Financial Services Regulatory Workshop, Stradley Ronon
- Presenter, SEC Examinations and Enforcement, Investment Company Institute (ICI) CCO Committee Meeting
- Heard in the Hall: Stradley Attorneys Share Their Thoughts on the 2023 ICI Investment Management Conference Sessions
- Heard in the Hall: Stradley Attorneys Share Their Thoughts on the 2019 ICI Investment Management Conference Sessions
- Panelist, Chairman Clayton's Impact on OCIE and Enforcement: Reset or Continuity? ICI Securities Law Developments Conference

Clerkships

Clerkship to U.S. District Judge Albert V. Bryan Jr. of the Eastern District of Virginia