Mark M. Attar

Partner -- Co-Chair, Broker-Dealer

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With over 25 years in the financial services regulatory sector, including 12 with the U.S. Securities and Exchange Commission (SEC)'s Division of Trading and Markets, Mark Attar counsels domestic and international market participants on federal securities laws and market regulation. Co-chair of the firm's broker-dealer practice, Mark represents broker-dealers, investment advisers, digital asset firms, trading platforms, clearing organizations, institutional investors and credit rating agencies.

Mark's practice includes representing clients on all aspects of their businesses, including examination and enforcement with a particular focus on SEC and Financial Industry Regulatory Authority (FINRA) financial and operational requirements, including net capital, custody, credit, books and records, reporting and risk assessment rules. He regularly advises broker-dealers on registration and FINRA membership, including new and continuing membership applications, and helps SEC registrants and FINRA members satisfy independent consultant undertakings in enforcement matters.

As a senior special counsel and branch chief in the Division of Trading and Markets, Mark managed lawyers responsible for administering the SEC's broker-dealer financial responsibility rule program. He advised on rulemaking, provided interpretive guidance and no-action letters to market participants, and served as a primary liaison for enforcement and examination matters. Mark also represented the SEC in international initiatives, including International Organization of Securities Commissions (IOSCO) and Joint Forum work streams.

Featured Speaking Engagements

- Speaker, "Net Capital & Customer Protection Rule Compliance," The Center for Professional Education Inc. Broker-Dealer Accounting Conference
- Presenter, "Financial Services Broker-Dealer Workshop," Stradley Ronon

Publications

- Author, "Chapter 22: Net Capital, Customer Protection, and Financial Reporting Broker-Dealer Regulation (Second Edition)," PLI
- Co-author, "Banking [on] Blockchain: A Legal and Regulatory Primer, Chapter, 4," American Bar Association

Services

- Broker-Dealer
- Investment Advisers
- Investment Management
- Registered Investment Funds
- Securities & Regulatory Enforcement
- Financial Services Litigation & Enforcement
- Digital Assets, Tokenization & Blockchain

Education

- Georgetown University Law Center (LL.M)
- New York Law School (J.D.)
- Franklin and Marshall College (B.A.)

Admissions

- District of Columbia
- New York