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Of Counsel

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Areas of Focus

Practice
Corporate, Finance and Capital Markets

Industry
Financial Institutions

Scott has more than two decades of experience advising executive leaders, boards of directors and institutional decision makers in the financial services industry on a wide range of legal, regulatory and compliance issues. His insights are backed by a depth of knowledge regarding SEC, FINRA, Federal Reserve and state authority regulations, particularly as they relate to investment and wealth management products and advisory programs.

As a strategic ally to clients, Scott has led efforts to create and implement enterprise-wide compliance programs that encompass policies, technology optimization, compliance tool development and internal review procedures. As General Counsel to both wealth management and banking institutions, he has also directed these entities' legal programs, advising on matters of particular focus in the financial services industry and directing the legal programs of multi-faceted financial institutions. He also helps conduct risk assessment and audit initiatives, and provides legal guidance when litigation occurs.

Affiliations

- National Society of Compliance Professionals
- Securities Industry and Financial Markets Association (SIFMA)

Recognition

- Scott is a recipient of the 2018 Drinker Biddle First Chair Top General Counsel award, which recognizes in-house counsel who have made significant contributions to the legal community.

Education

- Fordham University School of Law, J.D., *Urban Law Journal*
- Fordham University Graduate School of Liberal Arts, M.A.
- City University of New York, *cum laude*, B.A.

Bar Admissions

- New York

FINRA Licenses

- Series 7 (General Securities Representative)
- Series 14 (Compliance Officer)
- Series 24 (General Securities Principal)