



Alan Arkin

Principal

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Alan Arkin is a principal in the firm's Commercial Litigation Practice Group. With over 25 years of experience as a litigator, Alan serves as a trusted advisor to businesses, investment funds, high-net-worth individuals, public and private companies and others in the financial services industry. He represents clients in a wide range of matters in state and federal courts across the country and in arbitrations before FINRA, JAMS and the AAA.

Alan advises private equity funds, hedge funds, venture funds and other investment vehicles, their founders and other constituents on employment and organizational matters specific to the industry. Clients seek his counsel on fund breakups, whether through negotiation or litigation, separations and other transitions. He also has deep experience on matters of compensation related to alternative investment vehicles, including concerning carried interest plans.

Alan represents broker-dealers, investment advisors, placement agents, financial institutions and individuals in a wide range of FINRA and SEC proceedings and in operational matters relating to such businesses. He counsels individual clients on new and continuing member applications and other issues related to the formation of broker-dealers for FINRA. Alan has also counseled clients on matters involving fraud, asset recovery, offshore finance, employment, corporate governance, securities and restrictive covenant cases, regularly representing broker-dealers in industry and customer disputes, investigations and other examinations by FINRA, the SEC and other regulatory agencies.

Education

- Washington University in St. Louis (B.A.)
- Tulane University Law School (J.D., *cum laude*)

State Bar Admissions

- New York

Court Admissions

Services

- Commercial Litigation
- Financial Institutions
Regulatory
- FinTech

- United States District Court for the Southern District of New York
- United States District Court for the Eastern District of New York
- United States Court of Appeals for the Third Circuit
- Supreme Court of the United States