

**ALAN ARKIN**
Principal, New York**PRACTICE AREAS**

- Commercial Litigation

PRACTICE FOCUS

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.

REPRESENTATIVE MATTERS

- Represented the investment team of a \$15 billion private equity boutique in a dispute with their parent company owner concerning their departure.
- Represented a \$1.6 billion private equity fund in negotiations and litigation involving the removal of its founder.
- Represented a crowdfunding platform with respect to a FINRA arbitration brought by an issuer with respect to a failed offering.
- Represented a former registered representative of a broker-dealer in a FINRA arbitration brought by his former broker-dealer for fraud and with respect to a FINRA enforcement investigation.
- Represented a private placement firm with respect to its new member application, as well as with respect to various regulatory matters involving FINRA and state securities agencies.
- Represented a private equity advisory firm in the negotiation of employment agreements and the structuring of profit participation and phantom equity plans.
- Represented the founder of a mezzanine fund in negotiations concerning succession planning and a transition agreement.
- Represented a hedge fund in connection with buyout negotiations between co-founders.
- Represented a portfolio company in an arbitration brought by the former Chief Executive Officer of the company with respect to his termination.
- Represented a hedge fund in SEC and CFTC investigations involving alleged trading improprieties.
- Represented a hedge fund in an internal investigation concerning misappropriation of confidential information.
- Represented a venture capital fund in connection with a lawsuit brought by shareholders of a portfolio company for fraud and other claims arising out of the acquisition of the company.

EDUCATION

- Washington University, B.A.
- Tulane Law School, J.D., cum laude

ADMISSIONS

- New York State
- 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
- United States Supreme Court

