

# Former FINRA Associate GC Brant Brown Joins Willkie's Washington Office

Willkie Farr & Gallagher LLP announced that Brant K. Brown, former associate general counsel at the Financial Industry Regulatory Authority, Inc. (FINRA), has joined the firm as counsel in the Washington office.

In a release, the firm said Brown's hire is the latest regulatory addition to the firm's Washington office in recent months, following former Chairman (and Director of the Office of Enforcement) of the Federal Energy Regulatory Commission Norman C. Bay and former Acting General Counsel and Deputy General Counsel for the Department of the Treasury Priya R. Aiyar, who joined the firm in September.

"Brant's strong reputation and experience bring added depth to our team of asset management attorneys who regularly advise clients on complex SEC and FINRA issues," said Jim Burns, Willkie partner and former SEC Deputy Chief of Staff and Deputy Director of the SEC's Division of Trading and Markets. "He is well regarded and highly accomplished, and will be a tremendous asset to our clients as they navigate the changing SEC and FINRA regulatory environments."

Brown has experience working with self-regulatory organizations and broker dealers on a range of regulatory, compliance and enforcement-related matters. At Willkie, he will advise asset management and private equity clients on regulatory matters they face as they navigate the complex legal environment, according to the firm.

Brown joins a team at Willkie of former senior attorneys from numerous branches of federal government and other regulatory agencies, including SEC, CFTC, DOJ, FCC, DOC, FERC, ITC and

NTIA, Treasury, as well as the White House and State Department.

Brown served in FINRA's Office of General Counsel for 13 years, most recently as associate general counsel. He was responsible for advising senior management, departments and committees of FINRA on complex regulatory initiatives and rule proposals, developing and drafting regulatory notices and rule filings for submission to the SEC, and preparing materials for FINRA's Board of Governors. He also regularly counseled FINRA's Departments of Market Regulation, Transparency Services and Finance and worked closely with SEC staff on multiple high-profile regulatory initiatives, including establishing FINRA trade reporting requirements for trading activity in the Treasury market and representing FINRA in a significant role on the Consolidated Audit Trail Initiative. At FINRA, he was the recipient of several honors, including the FINRA Chairman's Award, FINRA's highest award.

Prior to his time at FINRA, Brown was an associate in the securities group of a large Washington law firm where he advised clients on securities laws and rules and represented firms and individuals in securities enforcement matters.

"I am excited to join Willkie's outstanding Asset Management team," said Brown. "Willkie has a preeminent practice in providing sophisticated advice to a wide range of clients, and I look forward to being a part of this talented and dedicated group."

Brown received a J.D. from Vanderbilt University Law School and a B.A., magna cum laude, from Vanderbilt University.