



ATTORNEYS AT LAW

Practice Areas

Government & Internal Investigations

Commercial Litigation

Investment Advisers & Broker-Dealers

Education

University of Virginia Law School, J.D., 1983

University of Pennsylvania, B.A., 1980, *cum laude*

Bar Admissions

Connecticut, 1983

New York, 1996

Court Admissions

U.S. District Court, District of Connecticut, 1985

U.S. Court of Appeals, Second Circuit, 1987

U.S. District Court, Southern and Eastern Districts of New York, 1989

U.S. Supreme Court, 2006

Honors and Awards

The Best Lawyers in America and *Connecticut Super Lawyers* for white collar criminal litigation 2006-2012

Recipient, Director's Award from the U.S. Department of Justice for Superior Performance as an Assistant U.S. Attorney, 1990



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Alfred Pavlis represents corporate and individual clients in white collar criminal matters, regulatory investigations, and complex commercial litigation. He also has extensive experience conducting internal investigations on behalf of boards of directors and audit committees.

Mr. Pavlis has represented corporations, officers, directors, and employees in a wide variety of government investigations, including federal criminal investigations, SEC enforcement actions, and inquiries by state attorneys general. He has also represented clients in connection with investigations by self-regulated entities, such as the NYSE, the NASD, and FINRA. His prior representations have involved areas such as securities fraud, accounting fraud, insider trading, market timing, trading ahead, market manipulation, public corruption, banking fraud, tax evasion, healthcare fraud, illegal gratuities and kickbacks, environmental violations, antitrust violations, criminal trademark infringement, money laundering and insurance fraud.

Recent matters include:

- representing the vice president of finance of a public company in parallel criminal and SEC investigations involving allegations of accounting fraud and "earnings management";
- representing the comptroller of a public company in an SEC investigation of accounting fraud;
- representing an NYSE specialist in parallel investigations by the U.S. Attorney for the Southern District of New York, the SEC, and the NYSE;
- representing an executive of a public company in an SEC investigation of insider trading;
- representing the head trader of a hedge fund in a federal securities fraud investigation; and
- representing a Bermuda reinsurance company in connection with SEC and New York Attorney General investigations of finite reinsurance.

Prior to entering private practice, Mr. Pavlis was an Assistant United States Attorney in the Southern District of New York, where he prosecuted federal crimes and was a member of the securities and commodities fraud unit.

Associations and Memberships

Law Clerk to the Honorable T. F. Gilroy Daly, U.S. District Judge for the District of Connecticut, 1983-1985.

American Bar Association (Sections on Litigation and Criminal Justice; Committees on White-Collar Crime, Complex Criminal Litigation, and Securities Litigation)

Connecticut Bar Association (Federal Practice Committee)

Federal Bar Council

Association of the Bar of the City of New York

Trustee, St. Vincent's Medical Center and St. Vincent's Health Services, Bridgeport,
Connecticut