



ATTORNEYS AT LAW

Finn Dixon & Herling Expands White Collar, Investment Management and Litigation Practices With Additions of Jeffrey Plotkin and Michael Q. English

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Experienced Securities Attorney and Federal Prosecutor Join as Partners

STAMFORD, CONN., Mar. 20, 2012 – Finn Dixon & Herling LLP announces that Jeffrey Plotkin and Michael Q. English have joined the firm as partners. Plotkin is a former Securities and Exchange Commission (SEC) enforcement attorney with extensive experience counseling clients in investigations and enforcement actions by the SEC, Financial Industry Regulatory Authority (FINRA), stock exchanges and other governmental agencies and self-regulatory organizations. English joins the firm from the U.S. Attorney's Office for the Southern District of New York, where he has served as an Assistant U.S. Attorney in the criminal division.

Plotkin and English join a growing team of attorneys in Finn Dixon & Herling's Government & Internal Investigations, Investment Management, Commercial Litigation and Corporate Groups that provide a diverse range of regulatory compliance and enforcement, litigation, dispute resolution and advisory services.

"We are excited to welcome Jeff and Michael; both are superb lawyers and fine individuals. They bolster our white collar, investment management and complex litigation practices and give us expanded capabilities in representing clients before the SEC and FINRA," said Michael Herling, managing partner and one of the founders of Finn Dixon & Herling. "As we celebrate our 25th anniversary, we are continuing to strategically expand our core practices, both internally and through lateral partners. In adding attorneys like Jeff and Michael, we build on our strengths while offering clients complementary services that support their businesses."

"Jeff and Michael are outstanding attorneys, whose securities enforcement and trial experience will enhance our capabilities in representing clients who are confronted with government and regulatory investigations and complex litigation matters," said Alfred Pavlis, partner and chair of the Government & Internal Investigations and Commercial Litigation groups.

Plotkin joins the firm from Day Pitney LLP, where he chaired the Broker-Dealers, Investment Advisers and Commodities Firms practice, as well as the White Collar Defense and Internal

Investigations group. Plotkin represents institutions and individuals nationwide in securities enforcement matters before the SEC, FINRA, the stock and option exchanges and state securities agencies. He also represents clients in parallel criminal proceedings brought by the U.S. Attorneys' Offices and state attorney generals' offices.

Plotkin began his legal career in the SEC's Division of Enforcement, where he served, among other positions, as Chief of the Branch of Broker-Dealer Enforcement and Assistant Regional Administrator of the New York Regional Office.

A frequent speaker and sought-after author on white collar, SEC enforcement and broker-dealer regulatory topics, Plotkin has published extensively in business and legal publications and currently is an Adjunct Professor of Law for New York Law School's LL.M. Program in Financial Services Law and an annual guest lecturer on insider trading law at the Columbia University Graduate School of Business. He is a member of the New York State Bar Association and co-chairs the Securities Subcommittee, White Collar Criminal Litigation Committee, Commercial and Federal Litigation Section. He is also a member of the Connecticut Bar Association, Federal Practice Section and the Securities Industry and Financial Markets Association, Compliance and Legal Division. Plotkin earned his J.D., *cum laude*, from New York Law School (1986) and his B.A. from the University of Arizona (1981).

"I have long admired the attorneys of Finn Dixon & Herling and the firm's exceptional teamwork in providing client services. This culture has served the firm very well for 25 years as evidenced by its long standing partnership with many blue chip clients and ability to develop strong relationships with new clients. I look forward to working across several of the firm's practice groups to expand its capabilities in advising clients regarding broker-dealer and investment adviser regulation and compliance, and defending clients in SEC, FINRA and stock exchange enforcement matters including investigations concerning cutting edge issues such as high-frequency electronic trading," said Plotkin.

English most recently served as Deputy Chief of the White Plains Division of the U.S. Attorney's Office in the Southern District of New York. In this role, he supervised 14 Assistant U.S. Attorneys during all phases of complex investigations and trials involving fraud, corruption, obstruction of justice, racketeering, tax offenses and other federal crimes. In 2011, English received the Director's Award from the Department of Justice recognizing his Superior Performance as an Assistant U.S. Attorney. English also served five years as Assistant U.S. Attorney in the Criminal Division in Manhattan. English was lead prosecutor on numerous jury trials and has extensive experience briefing and arguing appeals before the Second Circuit.

Prior to being a federal prosecutor, English was a litigation associate at Simpson Thacher & Bartlett LLP and clerked for the Hon. Joseph M. McLaughlin of the U.S. Court of Appeals for the Second Circuit and Hon. Peter K. Leisure of the U.S. Court for the Southern District of New York. He earned his J.D., *cum laude*, from Fordham University School of Law (2000) and his B.A. from Williams College (1995).

"I am delighted to be joining Finn Dixon & Herling. I am impressed with the firm's deep commitment to clients, the exceptional quality of the firm's attorneys and the collegial

atmosphere that is evident when you walk through its doors. I look forward to working with the firm's clients and providing counsel in white collar investigations and other litigation matters," said English.

Celebrating its 25th year, Finn Dixon & Herling LLP, principally located in Stamford, Connecticut, is a law firm with extensive experience providing corporate, transactional, financing, securities, bankruptcy, investment management and litigation counsel. The firm's clients are world-wide and include publicly traded companies, privately held companies, substantial private equity and venture capital groups, banks and financial institutions, hedge funds, investment advisers, third-party marketers, broker-dealers, entrepreneurs, start-up ventures and governmental entities. Finn Dixon & Herling was named by Chambers USA 2011 to its top tier, "Band 1," for Corporate and M&A law firms in Connecticut for the eighth straight year. On the Web: www.fdh.com.