



ATTORNEYS AT LAW

ANDREW M. CALAMARI, FORMER HEAD OF THE SEC'S NEW YORK OFFICE, TO JOIN FINN DIXON & HERLING

Date: 12/19/17

Andrew M. Calamari, who served as Director of the New York Regional Office of the U.S. Securities and Exchange Commission for the past five years, will join the firm as a partner, effective January 15, 2018.

Mr. Calamari will be a member of the firm's practice groups in Government and Internal Investigations, Litigation, and Investment Advisors/Broker-Dealers. He will represent clients in securities litigation, enforcement and internal investigations, and accounting-related matters. He will also be available to advise regulated entities and persons on compliance and examination issues.

"We are thrilled that Andy is joining us," said Michael Herling, administrative partner of the firm. "Andy is highly respected for his knowledge and judgment in the field of securities law, and he brings a wealth of experience in SEC enforcement and regulation to our practice."

"I am very excited to be joining the impressive group of lawyers at Finn Dixon & Herling," said Andrew M. Calamari. "The breadth and depth of the firm's practice in both regulatory and white-collar matters provide the perfect fit for my background in securities enforcement and broker-dealer and investment advisor compliance."

Mr. Calamari began his SEC tenure in 2000 as an enforcement attorney and rose through the ranks to ultimately lead the SEC's New York office. In 2003, he received the agency's Arthur F. Mathews Award, which is awarded annually to an SEC employee who has been consistently creative in applying the federal securities laws for the benefit of investors. In 2008, Mr. Calamari received the Stanley Sporkin Award, which is one of the SEC's top awards for its enforcement officials.

From 2012 until his resignation on October 31, 2017, Mr. Calamari, as the Regional Director, led a staff of approximately 400 enforcement attorneys, accountants, investigators, and compliance examiners, involved in the investigation and prosecution of enforcement actions and the performance of compliance inspections in the New York region. The New York office has responsibility for the largest concentration of SEC-registered financial institutions including more than 4,000 investment banks, investment advisers, broker-dealers, mutual funds, and

hedge funds. Mr. Calamari also was one of the inaugural Co-Chairs of the Division's Broker-Dealer Task Force, a national task force formed in late 2013 to focus on current issues and practices within the broker-dealer community and to develop national initiatives for investigations.

Before joining the SEC, Mr. Calamari served as a law clerk to the Honorable John M. Cannella, United States District Judge for the Southern District of New York, and then spent nearly 15 years in private law practice, including as a litigation partner at Donovan Leisure Newton & Irvine.

Mr. Calamari is a graduate of Fordham Law School (J.D. 1985, *cum laude*) and the Fordham University College of Business Administration (B.S. 1982). He is admitted to practice law in New York, and the U.S. District Courts for the Southern and Eastern Districts of New York. Mr. Calamari resides in Fairfield, CT with his wife and two children.

At Finn Dixon & Herling, Mr. Calamari will be working closely with Jeffrey Plotkin, who is also an alumnus of the SEC's New York office, and Michael English and Alfred Pavlis, former Assistant United States Attorneys for the Southern District of New York.