

## Karl L. Marquardt

Principal

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Karl Marquardt is a Principal in the firm's Financial Institutions Litigation and Regulation practice. His clients include Citi Personal Wealth Management, UBS Financial Services, Fidelity Investments, Morgan Stanley and Edward Jones. He is called upon to handle complex regulatory inquiries, internal investigations, unclaimed property audits and client litigation matters, and to provide risk and compliance counseling.

Formerly with Morgan Stanley, Karl has served in several different in-house roles. Most recently, Karl held a senior role in the firm's National Business Risk unit, where he managed the broker-dealer's Utah based Central Review Unit, its Chennai, India based e-mail review function, and was the Risk Department's project manager responsible for developing account review alerts used by the field to supervise retail accounts.

Prior to his position in Risk, Karl served as an attorney in Morgan Stanley's Client Litigation unit, where he represented the firm and its registered representatives in retail based regulatory and client litigation matters. Karl also served as an attorney in the Morgan Stanley U.S. Litigation unit, where he focused on representing the firm in regulatory matters before the SEC, FINRA and various federal and state regulators.

Karl also was formerly an in-house attorney at Citigroup, serving first as litigation manager for the bank's broker-dealer, and then as a member of the firm's Regulatory Enforcement Group, where he represented the firm's institutional, trading and retail businesses in regulatory investigations and examinations.

Prior to serving in-house, Karl worked for six years as an Associate on Bressler Financial Institutions team.

Karl's community and charitable endeavors include serving as President of Leonia Sports Boosters, Inc.; a member of the Board for Love of God Foundation, Inc.; Borough Councilman for Leonia, NJ from 2000-2004; as

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### AREAS OF PRACTICE

Expungements  
Financial Institutions  
Financial Institutions Advisory Practice  
Financial Institutions Enforcement Defense  
Financial Institutions Internal Investigations  
Financial Institutions Litigation and Arbitration  
Retail Client Relationships  
Senior & Vulnerable Investor Group

### EDUCATION

- Rutgers University School of Law - Newark, J.D., 1998
- Northwestern University, B.S., Radio-Television-Film, 1985

### ADMISSIONS

New York  
New Jersey

well as Recreation Commissioner for Leonia, NJ from 2010 to the present.

## Experience

- Successfully defended client firms and registered representatives in securities fraud, suitability and selling away claims brought by public customers
- Conducted internal investigations involving criminal and regulatory violations, including unauthorized use of discretion, cross trading, altering books and records, defalcation, elder abuse, forgery and violations of gifts and gratuities regulations
- Successfully defended client firms against fraudulent research claims brought by investors
- Representing a national financial services company undergoing a multi-state unclaimed property/escheatment audit
- Successfully defended client firm against damages claims in auction rate securities litigation

## Civic Involvement

- President, Leonia Sports Boosters, Inc.
- Board Member, Love of God Foundation, Inc.
- Recreation Commissioner for Leonia, NJ

## Professional Affiliations

- American Bar Association
- Securities Industry and Financial Markets Association (SIFMA), Compliance and Legal Society

U.S. District Court, District of New Jersey

U.S. District Court, Southern District of New York

U.S. District Court, Eastern District of New York