



Bruce H. Newman

PARTNER

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Bruce Newman has extensive experience handling a broad range of broker-dealer regulatory and enforcement issues, including issues related to trading, sales, research, banking, soft dollars, cross-border activities, net capital, customer protection, margin, and new and continuing membership applications, involving stocks, bonds and derivatives.

Mr. Newman has extensive experience in broker-dealer issues, policies and compliance practices. Mr. Newman has previously served as Director of Equities Compliance and Executive Director at UBS Warburg LLC, Director of Capital Markets Compliance at PaineWebber, Inc. and Branch Chief of the Broker-Dealer Enforcement Division of the SEC.

Practice

At UBS Warburg and PaineWebber, Mr. Newman primarily was responsible for designing, implementing and maintaining a comprehensive program to ensure that the firms' securities businesses operated in compliance with all relevant rules and regulations. He conducted training, provided legal and compliance advice, researched legal issues, wrote policies and procedures and supervised a staff that monitored trading and sales activities. Mr. Newman began his legal career at the SEC as a Staff Attorney in 1991 and served as Branch Chief of the Broker-Dealer Enforcement Division from 1994 to 1996. Before joining UBS Warburg, he was with PaineWebber Inc., serving as Assistant General Counsel from 1996 to 1997 and as Director of Compliance - Capital Markets from 1997 to 2000.

Solutions

AML and Economic Sanctions
Compliance and Enforcement

Broker-Dealer Compliance and
Regulation

Cross-Border Investigations
and Compliance

Futures and Derivatives

Securities Enforcement

Futures and Derivatives
Regulation and Documentation

Investigations

Recognition

- Recognized for his broker-dealer practice in the 2009–2023 editions of *Chambers USA Guide*
 - Selected by his peers for inclusion in the *Best Lawyers in America* for 2008–2023 in the area of administrative law
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Credentials

EDUCATION

JD, Yeshiva University,
Benjamin N. Cardozo School of
Law, 1991

magna cum laude

*Alexander Fellow; Member,
Cardozo Law Review*

BA, Rutgers University, 1987

ADMISSIONS

New York

GOVERNMENT EXPERIENCE

Securities and Exchange
Commission

Division of Enforcement

Branch Chief