



Stephanie Nicolas

PARTNER

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Stephanie Nicolas is a partner in the firm's Securities Department, and a member of the Broker-Dealer Compliance and Regulation and Futures and Derivatives Practice Groups. She joined the firm in 2001.

Ms. Nicolas has extensive experience handling a broad range of broker-dealer regulatory and enforcement issues and conducting internal reviews and compliance audits. She works with major investment banking firms, broker-dealers and other market participants to provide advice and develop policies and procedures for a broad range of securities issues and activities, including: information barriers and conflicts of interest; research activities; firm-wide supervision; trading and sales practices; capital markets; regulatory reporting and technology; and cross-border issues.

Professional Activities

Ms. Nicolas has co-authored several articles on broker-dealer regulation, is a contributor to the Practicing Law Institute (PLI) Broker-Dealer Regulation treatise and speaks frequently at seminars sponsored by the Securities Industry and Financial Markets Association (SIFMA), PLI, and other organizations. In 2018, she spoke at SIFMA's Annual Legal & Compliance Seminar (Research Conflicts of Interest), SRP's Annual Americas Structured Products and Derivatives Conference (SEC Standards of Conduct and Proposed Regulation Best Interest), and PLI's Fundamentals of Broker-Dealer Regulation Conference.

Solutions

Broker-Dealer Compliance and
Regulation
Investigations

Cross-Border Investigations
and Compliance

Futures and Derivatives

Recognition

- Selected as a leader in broker-dealer compliance law in the 2013–2019 editions of *Chambers USA: America's Leading Lawyers in Business*

Credentials

EDUCATION

JD, Georgetown University
Law Center, 1999

magna cum laude

Order of the Coif

*Editor, Law and Policy in
International Business*

BA, Brown University, 1994

ADMISSIONS

District of Columbia

New York