



## *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.

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### *Solutions*

Broker-Dealer Compliance and  
Regulation

Cross-Border Investigations  
and Compliance

Futures and Derivatives

Investigations

SPAC (Special Purpose  
Acquisition Company)  
Transactions

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## *Recognition*

- Selected as a leader in broker-dealer compliance law in the 2013–2023 editions of *Chambers USA Guide*

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## *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