



Yoon-Young Lee

SENIOR COUNSEL

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Yoon-Young Lee's practice has particular emphasis on broker-dealer regulation and securities compliance policies and procedures. Ms. Lee advises and represents broker-dealers and other financial institutions on various regulatory and compliance matters. She has worked with clients to devise and implement comprehensive policies and procedures to prevent the misuse of confidential information, to avoid conflicts of interests and to achieve compliance with federal securities laws and SRO regulations. She has extensive experience with compliance reviews and audits as well as internal investigations. Her practice includes providing advice regarding information barriers, research analyst independence, insider trading, sales practices, capital markets trading issues, electronic communications, supervision and surveillance measures.

Professional Activities

Ms. Lee speaks frequently at seminars sponsored by the Securities Industry and Financial Markets Association, on topics relating to securities laws and broker-dealer regulations. Ms. Lee serves on the Board of Directors for the Asian Americans Advancing Justice | AAJC. She is also a member of the National Asian Pacific American Bar Association, the Women's Bar Association and the DC Bar Association.

Solutions

Artificial Intelligence

Cross-Border Investigations
and Compliance

Futures and Derivatives
Regulation and Documentation

Broker-Dealer Compliance and
Regulation

Financial Services

Investigations

Coronavirus (COVID-19) Task
Force

Futures and Derivatives

Recognition

- Selected by peers for inclusion in *Best Lawyers in America* for corporate law (2010–2023) and securities regulation (2023 and 2024)
- Recognized as a national leader in financial services regulation: broker dealer compliance in the 2008–2023 editions of *Chambers USA Guide*
- Selected by *Washingtonian* magazine as one of the top lawyers in Washington DC in the area of securities law 2011 and 2013
- Selected as a leading Rainmaker in the November/December 2008 issue of *Diversity & the Bar* magazine, a publication of the Minority Corporate Counsel Association.
- Named to the *Washington Business Journal's* 2014 "Minority Business Leaders" list, recognizing the entrepreneurial drive, creativity and success of the Greater Washington region's top minority business owners and leaders.
- Selected as one of *Lawdragon Magazine's* "500 Leading Lawyers in America" in 2012 and 2013

Credentials

EDUCATION

JD, Harvard Law School, 1988

cum laude

BA, Johns Hopkins University,
1985

ADMISSIONS

District of Columbia

Virginia