



# **2022 SEC and FINRA Examination and Enforcement Priorities**

**March 28, 2022 | 12:30 - 1:30 p.m.**

**Fordham Law School**

*via Zoom Webinar*

*CLE credit for this program is approved in accordance with the requirements of the New York State CLE Board for a maximum of 1.0 transitional and non-transitional professional practice credit.*



The U.S. Securities and Exchange Commission (SEC) and the Financial Industry Regulatory Authority (FINRA) recently issued their 2022 Examination Priorities reports. Hear directly from SEC and FINRA leaders about these priorities, and from legal and compliance practitioners on what they mean for the financial services industry.

## Agenda

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### **12:30 - 1:30 p.m. | Panel Discussion**

#### **Speakers:**

**Richard Best**, Director, New York Regional Office, U.S. Securities and Exchange Commission

**Charu Chandrasekhar**, Counsel, White Collar & Regulatory Defense Group, Debevoise & Plimpton

**Christopher Kelly**, Senior Vice President and Deputy Head of Enforcement, Financial Industry Regulatory Authority

**Venetia Woo**, Principal Director, Regulatory Strategy & Capital Markets Lead, Accenture

#### **Moderated by:**

**Aaron Mendelsohn**, Principal Director, Digital Risk & Compliance, Accenture

**2022 SEC and FINRA Examination and Enforcement Priorities Program**  
*Speaker Biographies*



**Richard Best**  
**Director, New York**  
**Regional Office, U.S.**  
**Securities and**  
**Exchange Commission**

Richard R. Best was named Regional Director of the U.S. Securities and

Exchange Commission's New York Regional Office in September 2020. He was previously the Regional Director of the Salt Lake Regional Office, serving from July 2015 to February 2018, and Regional Director of the Atlanta Regional Office, serving from February 2018 to September 2020.

Before coming to the Commission, Mr. Best was a Chief Counsel in the Department of Enforcement of the Financial Industry Regulatory Authority (FINRA). Mr. Best was also a Director, Senior Trial Attorney and Trial Attorney at FINRA.

Mr. Best previously worked as an Assistant District Attorney in the Office of the Bronx County District Attorney. He was a supervisor in the Office's Rackets Bureau where he managed high-profile public integrity and organized crime prosecutions, among other Matters.

Mr. Best received his bachelor's degree from the State University of New York, College at Old Westbury, and a law degree from the Howard University School of Law.



**Charu**  
**Chandrasekhar**  
**Counsel, White Collar**  
**& Regulatory**  
**Defense Group,**  
**Debevoise & Plimpton**

Charu A. Chandrasekhar is a litigation counsel based

in the New York office and a member of the firm's White Collar & Regulatory Defense Group. Her practice focuses on securities enforcement and government investigations, internal investigations and complex commercial litigation.

Prior to joining the firm, Ms. Chandrasekhar served as an Assistant Regional Director in the

SEC's Division of Enforcement and as the founding Chief of the Division's Retail Strategy Task Force. Ms. Chandrasekhar also served as a Senior Advisor and Senior Counsel in the Division of Enforcement's Market Abuse Unit.

During her eight years at the SEC, Ms. Chandrasekhar successfully investigated and brought numerous high-profile enforcement cases, including multiple matters involving cutting-edge and complex practices across the securities markets and federal securities laws. She supervised and participated in investigations involving insider trading by corporate insiders, broker-dealers, and hedge funds; antifraud and regulatory violations by stock exchanges, alternative trading systems, and other trading venues; investment advisers; cybersecurity and digital assets; and market manipulation. Her notable matters included the Commission's largest settlement against a dark pool; one of the Commission's largest stock exchange settlements, which involved the Commission's first-ever charge under Regulation SCI; charges against an underwriter in connection with one of the largest offering frauds involving an international issuer listed on an American securities exchange; and multiple insider trading cases with parallel criminal matters. In her service at the SEC in two national enforcement groups, Ms. Chandrasekhar routinely investigated and coordinated matters with senior SEC enforcement officials and enforcement staff from the SEC's Home Office and eleven regional offices.

Ms. Chandrasekhar's government service included coordination on parallel matters with the United States Department of Justice, the New York Attorney General's Office, FINRA, and other domestic and international securities regulators. She also consulted routinely on matters involving registered investment advisers and broker-dealers with the New York Regional Office's Division of Examinations.

Ms. Chandrasekhar received the Chairman's Award for Main Street Investors for her accomplishments on the Retail Strategy Task Force, as well as several Enforcement Division Director's Awards for her successful enforcement matters.

Prior to joining government, Ms. Chandrasekhar was a counsel at a major international law firm and clerked for the Honorable Sonia Sotomayor on the U.S. Court of Appeals for the Second Circuit. Ms. Chandrasekhar received her J.D. cum laude in 2004 from Harvard Law School, where she was

the editor-in-chief of the Harvard Civil Liberties-Civil Rights Law Review, and her B.A. cum laude from Yale University in 1998.



**Christopher Kelly**  
**Senior Vice President**  
**and Deputy Head of**  
**Enforcement,**  
**Financial Industry**  
**Regulatory Authority**

Christopher Kelly serves as the Deputy Head of Enforcement at FINRA. In that role, he oversees the work of more than 175 attorneys who work in FINRA's Enforcement Department.

He joined FINRA in 2014 and served as Chief Counsel in FINRA's North Region until early 2018. Prior to joining FINRA, Mr. Kelly served as Deputy Chief of the Criminal Division at the U.S. Attorney's Office for the District of New Jersey. In that role, Mr. Kelly supervised more than 35 Assistant U.S. Attorneys in the Office's white-collar units: Economic Crimes, National Security, Healthcare and Government Fraud, and Cybercrime. Prior to his promotion to the position of Deputy Chief, Mr. Kelly served as the Chief of the Economic Crimes Unit at the U.S. Attorney's Office, where he oversaw the Office's prosecution of complex economic crimes, including crimes involving insider trading, securities fraud, tax evasion, bank fraud, corporate fraud and embezzlement. Mr. Kelly also served as the lead prosecutor on numerous criminal prosecutions. Prior to joining the U.S. Attorney's Office, he was an associate at the law firm Dechert LLP. Mr. Kelly also clerked for the Honorable Joseph E. Irenas, U.S. District Court Judge for the District of New Jersey.

Mr. Kelly graduated from Duke University and Harvard Law School.



**Venetia Woo**  
**Principal Director,**  
**Regulatory Strategy**  
**& Capital Markets**  
**Lead, Accenture**

Venetia is a Principal Director and leads the Capital Markets

Finance & Risk Regulatory Strategy practices that helps corporates and financial institutions plan the adoption of new and emerging regulations, remediate, and navigate their regulatory relationships. She focuses clients when restructuring businesses or entering new markets, businesses, or products. She also advises agency regulators and boards of directors in discharging their duties in the face of new technologies, asset classes and risks. Additionally, she is Accenture's Global Libor Advisor and participates in global initiatives such as ARRC's Outreach and Communication Working group. You can reach Venetia at: [venetia.w.woo@accenture.com](mailto:venetia.w.woo@accenture.com).



**Aaron Mendelsohn**  
**Principal Director,**  
**Digital Risk &**  
**Compliance,**  
**Accenture**

Aaron is a Principal Director on Accenture's Digital Risk & Compliance team. Aaron is a lawyer by training and has 20+ years of financial regulatory and fraud investigations experience in the private and public sectors. Aaron was a Senior Counsel in FINRA's Enforcement Department and a federal prosecutor at the U.S. Department of Justice, where he investigated and prosecuted economic crimes and securities industry violations. Aaron has also served as an Adjunct Professor of Law at Fordham teaching International Financial Crime. Throughout his career, Aaron has worked on cases with the SEC, CFTC, OCC, PCAOB, FinCEN, and other federal, state, and international regulators and law enforcement agencies.

Aaron received his BA in History and Art History from Middlebury College and his JD from Northwestern Law School. Aaron can be reached at [Aaron.Mendelsohn@Accenture.com](mailto:Aaron.Mendelsohn@Accenture.com)