



# Alexander I. Cohen

## Member

## New York

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Alex concentrates his practice on representing individual and corporate clients amidst government and internal investigations, as well as advising clients on compliance issues relating to the federal securities laws and SRO rules. In addition to regularly representing clients before the U.S. Securities and Exchange Commission (SEC), the U.S. Department of Justice (DOJ), and the Financial Industry Regulatory Authority (FINRA), Alex brings substantial experience handling complex securities and commercial litigation matters. He has provided legal representation for large private corporations, publicly traded companies, financial institutions, and affiliated individuals in complex civil litigation proceedings across state courts, federal district courts, and various arbitral forums involving claims such as breach of contract and fiduciary duties, misappropriation, and fraud.

Before joining Cozen O'Connor, Alex spent almost a decade at a global law firm where he was an integral part of their securities enforcement and regulatory practice. There, he was responsible for leading and managing high stakes investigations for some of the largest financial institutions in the world. Alex was on secondment for approximately one year during this period to the legal department of a major financial institution, where he developed a unique understanding about the needs of his clients and the critical role of outside counsel in his matters.

Alex earned his B.A., *summa cum laude*, from Rutgers University, New Brunswick, and as a student, participated in an undergraduate program at RU's historic Eagleton Institute of Politics where he learned about cutting edge issues in politics and government from scholars and leading figures in federal and state public office as well as political campaigns. After college, Alex went on to the University of Virginia School of Law to earn his J.D., where he served on the editorial board of the *Journal of Law & Politics* and worked on cases for inmates seeking post-conviction relief through The Innocence Project. During law school, he obtained valuable experience by clerking for the appellate group of the New Jersey Office of the Attorney General, participating in volunteer teaching opportunities at local high schools in Albemarle county through UVA's Street Law program and joining the law school's first-ever soccer program called Barristers' United.

Alex has remained passionate about community investment and development while practicing law in New York City. He has served on the board of directors of The City Tutors, Inc., since its founding in 2020 as well as assisted the organization with key corporate and tax issues during its start-up period. The City Tutors is a nonprofit organization based in Queens, New York that provides academic and professional development support services to underserved neighborhoods across New York City and boasts a volunteer corps. of more than 800 professionals, educators and city residents who participate in remote and in-person programs sponsored by the organization.

## Experience

Successfully handled several FINRA Surveillance and Market Intelligence inquiries focused primarily on the detection of insider trading activity on behalf of broker-dealers, public companies, and private equity firms.

Successfully represented a large global investment bank in connection with several government investigations, including investigations conducted by both the DOJ and SEC, concerning potential

## Practice Areas

- Securities Litigation & SEC Enforcement
- White Collar Defense & Investigations
- Capital Markets & Securities
- Commercial Litigation

## Education

- University of Virginia School of Law, J.D., 2015
- Rutgers University, B.A., *summa cum laude*, 2011

## Bar Admissions

- New Jersey
- New York

## Court Admissions

- U.S. District Court -- Eastern District of New York
- U.S. District Court -- Southern District of New York
- U.S. District Court -- New Jersey

## Affiliations

The City Tutors, Inc., Board of Directors (2020-present)

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insider trading activity involving customers, employees, and vendors.

Represented various individuals of interest who were asked to provide on-the-record testimony or participate in witness interviews conducted by the SEC, FINRA, or the DOJ in matters concerning, among other issues, insider trading activity, false or misleading statements, conflicts of interest, and investment suitability.

Successfully represented a regional financial institution in connection with an SEC investigation concerning potential recordkeeping violations resulting from broker-dealer and/or investment adviser employees' use of personal devices for business communications (and related internal reviews for another regional financial institution which sought counsel regarding its duty to self-report record retention violations to SEC and FINRA).

Successfully defended an issuer of certain mortgage-backed securities in a SEC investigation into a Nationally Recognized Statistical Rating Organization's (NRSRO) compliance with industry conflict of interest rules involving the credit ratings of those securities.

Successfully represented a global asset management firm in connection with SEC and DOJ investigations into potential market manipulation of certain municipal bonds during a period of illiquidity in the market.

Successfully represented a broker-dealer in connection with SEC and FINRA investigations into its compliance with industry rules that require the provision of trade confirmations to customers in connection with their purchase of debt securities.

Successfully represented a broker-dealer in connection with a FINRA sweep investigation concerning the functionality and supervision of its rights of reinstatement and contingent deferred sales charge programs on its mutual fund platform.