WALDEN HARAN WILLIAMS

Barry W. Rashkover

PARTNER

212 335 2954
brashkover@whwllp.com



Barry Rashkover is a nationally recognized, veteran securities enforcement defense lawyer who regularly represents companies and individuals before securities and financial regulators including the Securities and Exchange Commission (SEC), the Department of Justice (DOJ), the Financial Industry Regulatory Authority (FINRA), the Financial Crimes Enforcement Network (FinCEN), the Commodity Futures Trading Commission (CFTC), and state attorneys general. Barry's strategic and proactive approach guides public companies, broker-dealers, investment advisers, crypto companies, and senior company officials through their most sensitive investigations and enforcement matters.

EDUCATION

Cornell Law School, J.D.

Note Editor, Cornell Law Review

Columbia University, A.B.

ADMISSIONS

U.S. Court of Appeals, 2nd and 9th Circuits
U.S. Court of Appeals, Federal Circuit
U.S. District Court, E.D. of New York
U.S. District Court, W.D. of New York
U.S. District Court, N.D. of New York
U.S. District Court, S.D. of New York
New York

> ***Barry is extremely bright and practical, very organized and very familiar with staff and requirements of the SEC.***
>
> – CHAMBERS USA

Clients turn to Barry to defend them in high-profile government and other regulatory investigations involving sophisticated securities and capital markets issues such as insider trading, market manipulation, financial reporting, anti-money laundering (AML), cybersecurity, artificial intelligence (AI), fiduciary duty, executive compensation, broker-dealer and investment adviser compliance, complex financial products, disclosure issues, and matters arising under the Foreign Corrupt Practices Act (FCPA).

Barry is a tenacious and strategic litigator. His recent matters include a private federal court insider trading case in which Barry convinced the plaintiffs voluntarily to dismiss their complaint against his client by previewing his anticipated motion to dismiss. Barry co-authored an appellate court amicus brief regarding PSLRA pleading standards and public company risk disclosure. He recently served as deposition and discovery co-counsel to defend a former public company CFO in a case where the SEC alleges misrepresentations to company auditors. He also advises clients on litigation strategy on federal securities law claims. When called for, Barry constructs constitutional procedural defenses to supplement substantive regulatory factual and legal arguments.

Barry W. Rashkover

PARTNER

212 335 2954
brashkover@whwllp.com

Beyond the regulatory defense and litigation context, Barry counsels businesses proactively on navigating securities regulatory issues. For example, he has advised recently on AI compliance procedures for investment advisers, SEC enforcement collateral consequences, and insider trading/material non-public information (MNPI) issues.

Barry works with the securities industry to advance regulatory policy reforms. Co-representing the securities industry's preeminent trade association, Barry has helped formulate and advocate to the SEC a proposal to reform its enforcement action collateral consequences/disqualification waiver process. He also is working with two other law firms to advise the same trade association regarding the SEC's proposed Offering Reform rule.

Barry has enthusiastically integrated AI into his practice. With appropriate supervision, he and the professionals who work with him use the Firm's AI platform in connection with legal research, large-scale document review, fact analysis, formulating chronologies, and testing defenses and opposing arguments. Not only does this create efficiencies for many defense action items, but it also enhances counsel's creativity and ability to explore and test legal and factual theories less expensively and more quickly.

Barry has been ranked in Chambers USA and other directories of top attorneys for many years. He was also named Best Lawyers® 2025 "Lawyer of the Year" for Securities Regulation in New York City. Sources quoted in Chambers recognize Barry as an "A-team player," "absolutely fantastic," "very knowledgeable," "an excellent lawyer with keen insight," "strategic," and a "formidable" advocate. Chambers sources say that he is a "very strong and very insightful lawyer," "an excellent SEC lawyer," "my most trusted adviser," and "has the trust and respect of the SEC staff." One source said, "Barry's deep knowledge of the federal securities laws and substantial SEC enforcement experience served us well. He was particularly good at identifying practical considerations." Another source described Barry as a "top-notch thinker and strategist." Barry is also named a "National Practice Area Star" and "Litigation Star" in Benchmark Litigation.

Before joining Walden Haran Williams, Barry was co-head of the global Securities Enforcement and Regulatory practice at a major international law firm. Under his leadership, the practice received many industry-standard accolades, including recognition from Chambers USA as "Firm of the Year" for Financial Services and Securities Regulation; *US News – Best Lawyers*® "Law Firm of the Year" for Litigation – Regulatory Enforcement, and *US News – Best Lawyers*® "Law Firm of the Year" for Securities Regulation.

Barry is a sought-out thought leader covering securities enforcement and litigation issues. He has participated in programs sponsored over the years by leading organizations such as SIFMA, the SEC Historical Society, the New York City Bar Association, American Conference Institute, Directors Roundtable, Glasser LegalWorks, Practising Law Institute, Legal IQ, the SEC, the DOJ, and Cornell Law School.

Experience

Public Company. Represents public companies and senior officials in SEC investigations concerning a broad range of issues, such as financial reporting, FCPA, disclosure, executive compensation, internal controls, and Regulation FD. Barry serves as co-counsel to a former public company CFO in district court SEC litigation regarding audit issues.

Internal Investigations. Conducts sensitive internal investigations for institutional clients including public companies and their Boards.

Barry W. Rashkover

PARTNER

212 335 2954
brashkover@whwllp.com

Investment Adviser. Represented investment advisers and principals in approximately 70 SEC investigations or examinations concerning regulatory priority issues, such as allocation of investments, fund expenses, adviser compensation, valuation of fund holdings, cross trades, disclosure of investment risk and fund objectives, MNPI policies and procedures, stock manipulation and Rule 105, alternative data, and adequacy of compliance procedures.

Broker-dealer. Represents major Wall Street firms in SEC and FINRA matters involving a broad spectrum of regulatory issues, such as suitability/Reg BI and other retail investor issues, Regulation SHO, trade surveillance, customer protection rule, high-frequency trading, and MNPI procedures.

Cyber. Represents financial institutions and public companies in investigations concerning cyber issues, including matters involving Regulation S-ID, disclosure, and internal controls.

AML. Represented broker-dealer/market maker in complex FinCEN, SEC and FINRA investigations into AML procedures and compliance.

Crypto. Defended prominent crypto firms in cutting-edge regulatory investigations, including matters focused on registration, whether tokens are securities, and extraterritorial jurisdiction.

Insider Trading/MNPI. Defends individuals, fund advisers, and broker-dealers in SEC enforcement matters concerning alleged insider trading or MNPI policies and procedures. Conducts internal investigations into MNPI issues and advises on MNPI policies and procedures.

Asset Backed Securities. Defended a major international bank in DOJ, SEC, State Attorney General, and other multi-year investigations into the creation and underwriting of Residential Mortgage-Backed Securities up to the financial crisis.

LIBOR. Served as head of the defense of a British Bankers' Association (BBA) panel bank in high-profile CFTC, DOJ, and state investigations into setting LIBOR.

FORMER SEC SENIOR OFFICIAL

Barry's distinguished career includes holding several high-level positions at the SEC, including co-head of Enforcement and Associate Director for the SEC's Northeast Regional Office (now known as the New York Office) and SEC senior trial counsel. Barry led some of the SEC's most important enforcement matters, including actions against NYSE specialist firms for unlawful proprietary trading (resulting in a $240 million global settlement); financial reporting cases involving Adelphia Communications Corp. and Computer Associates International, Inc.; the SEC's first-ever enforcement action against the NYSE; cases arising out of improper proprietary trading by NYSE floor brokers; insider trading cases, such as SEC v. Samuel Waksal and SEC v. Martha Stewart and Peter Bacanovic; and federal court cases halting ongoing fraud, including SEC v. The Bennett Funding Group, Inc., involving one of the largest securities "Ponzi" schemes in U.S. history. He co-chaired the SEC's trial team to victory in the jury trial of the "Southampton Seven" insider trading case.

Barry W. Rashkover

PARTNER

212 335 2954
brashkover@whwllp.com

Recognitions

- Chambers USA, Nationwide Securities Regulation: Enforcement (2010–2026)
- Best Lawyers® (2020-2026)
- Best Lawyers® "Lawyer of the Year," New York City Securities Regulation (2025)
- Legal 500 New York Elite – Cybersecurity (2026)
- Benchmark Litigation, National Practice Area Star (2021–2024, 2026)
- Securities Dockets "Enforcement Elite" (2024, 2025)
- WWL Business Crime Defence
- WWL Global Investigations Review (2023)
- SEC's "Stanley Sporkin Award" for outstanding contributions to the agency's enforcement program (1999)

Activities

- UJA Federation New York, White Collar & Securities Enforcement Executive Committee, Member
- Cornell Law School Advisory Council, member
- SEC Historical Society, Board of Advisors
- Adams Street Foundation, Executive Board
- Federal Bar Council, member
- National Committee on U.S.-China Relations, member
- New York State Bar Association, White Collar Committee
- Fordham Law School, former adjunct professor on insider trading and securities fraud issues