



Amy J. Greer

Partner

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OVERVIEW

Amy J. Greer is a partner in the firm's New York office. She is a member of the White Collar Defense and Investigations practice group.

Amy advises all manner of financial industry clients and reporting companies in connection with regulatory enforcement investigations and examinations, as well as internal investigations. Her clients include investment advisers, broker-dealers, hedge funds, mutual funds, securities issuers and reporting companies, and those providing services to those businesses, including accounting and audit firms.

Drawing on her broad commercial litigation background and experience leading an SEC regional office trial program, Amy provides practical and forward-looking guidance to clients, who seek her advice on matters as diverse as conflicts of interest, disclosure issues, sales practices concerns, insider trading/market abuse, financial and accounting issues, securities offerings, complex or novel products and trading, and whistleblower concerns.

Amy is known for her ability to narrow the focus of an inquiry, get to the heart of an issue with precision, and efficiently manage complex matters, whether that means multiple jurisdictions, regulators, or litigation matters.

PROFESSIONAL BACKGROUND

Prior to joining the firm, Amy served as a partner at a New York firm where she advised financial industry clients and SEC reporting companies. Amy has also previously served as chief litigation counsel at the US Securities and Exchange Commission's (SEC) Philadelphia regional office, where she managed a team of lawyers handling a wide variety of regulatory enforcement matters.

ACHIEVEMENTS

- Listed in *The Best Lawyers in America*® for Securities Regulation and Litigation Securities in New York, 2021 and 2024

PROFESSIONAL / CIVIC ACTIVITIES

- New York City Bar Association - Member
- Allegheny County Bar Association (Pittsburgh) - Member and Former President
- Bedlam Theatre - Member, Board of Directors

SPEAKING ENGAGEMENTS

- Speaker, "Negotiating Complex Multijurisdictional Settlement Resolutions," GIR Live NY, September 2022
- Speaker, "Fiduciary Duties for Sitting Board Members: What You Need to Know," BoardNext, June 2022
- Speaker, "Complex Matter Management: Selecting and Managing Outside Counsel, Experts and Vendors," SIFMA C&L, March 2022
- Speaker, "What Does the SEC's Focus on ESG Mean for Investment Advisers?," Investment Adviser Association (IAA), December 2021
- Speaker, "ESG Compliance Workshop: SEC Exam Issues," Investment Adviser Association (IAA), November 2021
- Speaker, "SEC Compliance Update - Managing Material Nonpublic Information," Pharma Congress, November 2021
- Speaker, "Mitigating Risks of SEC Enforcement Scrutiny as a Public Company," Association of Corporate Counsel New York Chapter, August 2021
- Speaker, "Regulatory Exams & Engagement," SIFMA C&L, July 2021
- Speaker, "Bringing the Financial Industry's Compliance and Legal Professionals Together Online," SIFMA C&L, July 2021
- Speaker, "ESG and Sustainability: The SEC's Emerging Agenda," SIGMA C&L, June 2021
- Moderator, "FINRA 2021 Priorities," SIFMA C&L, February 2021
- Speaker, "How to Navigate Your First Board Seat in a Time of Disruption," BoardNext, December 2020
- Speaker, "Corporate Governance," Financial Times Global Moral Money Summit, October 2020

EDUCATION

- J.D., College of William and Mary, 1989
- B.A., Gettysburg College, 1985

ADMISSIONS

- Bar of District of Columbia
- Bar of New York
- Bar of Pennsylvania

THOUGHT LEADERSHIP POWERED BY HUB

- 5 February 2024, SEC and FINRA Broker-Dealer Enforcement: Recapping 2023 and Previewing 2024

OTHER PUBLICATIONS

- “SEC Attorneys, Even in a Pinch, Must Avoid Misstatements in Court,” *Bloomberg Law*, 18 April 2024
- Co-Author, “Will the New Safe Harbor Policy Create a Safe Haven for Companies Reporting Misconduct Discovered in M&A?,” *New York Law Journal*, December 2023
- Co-Author, “ESG Investing Faces Changing Regulatory Landscape,” *The Investment Lawyer*, April 2021
- Co-Author, “What Happens to Reg BI Under a Biden Administration?,” *Wealth Management*, October 2020
- Co-Author, “Employment Concerns For Financial Cos. During COVID-19,” *Law360*, September 2020
- Co-Author, “What Presidential Election Means for Securities Regulation,” *Law360*, August 2020
- Co-Author, “What Investors May Now Want Public Companies to Disclose,” *Law360*, May 2020
- Co-Author, “Managing Through Financial Conflicts of Interest,” *Investment Adviser Association*, April 2020

NEWS & EVENTS

- 22 August 2023, K&L Gates Deepens Financial Services Regulatory and Enforcement Capabilities with Addition of New York Partner Pair

MEDIA MENTIONS

- Quoted, “Reg BI enforcement poised to take next step,” *Investment News*, 18 January 2024
- Quoted, “CFTC Case May Deter the SEC From Issuing No-Action Letters: Attorneys,” *FundFire*, 13 October 2023
- “Elevator Talk: Amy Greer and Jennifer Klass,” *Mutual Fund Observer*, November 2021

AREAS OF FOCUS

- White Collar Defense and Investigations
- Public Companies
- Securities and Transactional Litigation