



Dean A. Brazier

Associate

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OVERVIEW

Dean Brazier is an associate in the firm's public policy and law practice group in the Washington, D.C. office. Dean leverages his prior experience as a Certified Public Accountant and former SEC attorney to advise clients on policy matters involving financial services, securities, banking, and corporate governance interests.

PROFESSIONAL BACKGROUND

Prior to joining the firm, Dean spent three years as an attorney advisor in the Division of Corporation Finance at the U.S. Securities and Exchange Commission. At the SEC, he examined filings under the Securities Act of 1933 and the Securities Exchange Act of 1934 to ensure compliance with federal securities laws, rules, and regulations. While at the SEC, Dean reviewed investment fund applications for compliance with the Investment Company Act of 1940 and examined requests for no-action relief under Exchange Act Rule 14a-8 relating to shareholder proposals.

Before attending law school, Dean worked for the Financial Services Office of Ernst & Young LLP in New York. For more than three years, he provided auditing and consulting services focused on major national and international clients in the Banking & Capital Markets and Asset Management industry segments.

PROFESSIONAL / CIVIC ACTIVITIES

- Certified Public Accountant (New York)
- American Bar Association
- New York State Bar Association
- Finance Director, Black Alumni of Notre Dame
- Assistant Finance Director, Diversity Council, Notre Dame Alumni Association

ADDITIONAL BACKGROUND

- Certified Public Accountant (New York)

EDUCATION

- J.D., Duke University School of Law, 2013 (*Senior Executive Editor, Duke Forum for Law and Social Change*)
- M.S., University of Notre Dame, 2008
- B.A., Morehouse College, 2007

ADMISSIONS

- Bar of District of Columbia
- Bar of New York

THOUGHT LEADERSHIP POWERED BY HUB

- 16 July 2020, DOL Issues Proposed Rule on ESG Investing for ERISA Plans: Part 1: History and State of Play (*Alerts/Updates*)
- 1 June 2020, COVID-19: The Fed Clarifies Main Street Lending Program Eligibility Criteria; Additional Changes Are on the Way (*Alerts/Updates*)
- 4 May 2020, COVID-19: Federal Reserve Expands the Main Street Lending Program (*Alerts/Updates*)
- 14 April 2020, COVID-19: The Federal Reserve Announces New and Expanded Liquidity Facilities to Provide \$2.3 Trillion in Funding (*Alerts/Updates*)
- 1 April 2020, COVID-19: The Federal Reserve Establishes the FIMA Repo Facility to Maintain Stability of U.S. Dollar-Denominated Wholesale Financial Markets (*Alerts/Updates*)
- 27 March 2020, COVID-19: Historic Coronavirus Relief Package Enacted (*Alerts/Updates*)
- 23 March 2020, COVID-19: The Federal Reserve Establishes Three New Liquidity Facilities and Expands the Scope of Two Existing Liquidity Facilities (*Alerts/Updates*)
- 19 March 2020, COVID-19: The Federal Reserve Board Establishes a Money Market Mutual Fund Liquidity Facility (*Alerts/Updates*)
- 18 March 2020, COVID-19 Response: Financial Regulators Seek to Blunt Impact with Emergency Measures (*Alerts/Updates*)
- 8 November 2019, SEC Proposes Rules to Curb Shareholder Proposals, Limit Proxy Voting (*Alerts/Updates*)

- 18 September 2019, The End of Capital Gains As We Know It? Wyden Releases Proposal Profoundly Changing How Capital Gains Are Taxed (*Alerts/Updates*)
- 18 July 2019, K&L Gates Responds to the Federal Reserve's Rulemaking on Control Proceedings (*Alerts/Updates*)
- 15 May 2019, Are You in Control (of a Bank)? The Fed's Proposed Framework for Presuming Control under the Bank and Savings and Loan Holding Company Acts (*Research Surveys*)
- 4 April 2019, Legislation Targets Carried Interest (*Research Surveys*)
- 20 September 2018, Chancery Court Validates A Defective Merger And Reaffirms Reliance On Outside Legal Counsel Under Delaware Law (*Research Surveys*)
- 14 September 2018, A Decade Later; Could It Happen Again? (*Alerts/Updates*)
- 10 July 2018, Dodd-Frank Reform 2.0 (*Alerts/Updates*)
- 27 June 2018, In the Weeds: Momentum Builds in Congress to Lift Federal Restrictions on Marijuana (*Alerts/Updates*)
- 1 February 2018, FHFA and Senate Proposals Bring GSE Reform Into Sharper Focus (*Alerts/Updates*)
- 16 January 2018, Housing Finance Reform: The Stars Are Aligning (*Alerts/Updates*)
- 12 January 2018, The Dodd-Frank Reform Endgame (*Alerts/Updates*)
- 21 November 2017, Dodd-Frank Reform Efforts Intensify (*Alerts/Updates*)
- 30 October 2017, Treasury Reports Continue to Inform Dodd-Frank Reform Efforts (*Alerts/Updates*)
- 2 October 2017, Chancery Court Dismisses Breach of Fiduciary Claims Following The Closing of a Merger Involving Insider Side Deals (*Research Surveys*)
- 14 September 2017, Chancery Court Declines To Dismiss Fiduciary Claims Arising From A Self-Tender Offer (*Research Surveys*)
- 7 July 2017, Chancery Court Preserves Advancement for Corporate Officers Despite Exclusive Remedies and Seller Release Provisions in Stock Purchase Agreement (*Research Surveys*)
- 31 May 2017, Chancery Court Cites Inelegant Drafting When Allowing an Indemnification Claim to Proceed (*Research Surveys*)

AREAS OF FOCUS

- Public Policy and Law
- Capital Markets
- Corporate Governance

- Mergers and Acquisitions

INDUSTRIES

- Financial Services
- Fintech