

Gregory D. DiMeglio

Chair, Securities Enforcement

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Greg DiMeglio has been a securities enforcement lawyer for over 26 years.

At Stradley Ronon, Greg has spent 18 years representing investment advisers, investment companies, broker-dealers, public companies, boards of directors, board committees, auditors, other entities and individuals in connection with examinations, investigations and enforcement actions by the U.S. Securities and Exchange Commission (SEC), Department of Justice, other federal and state regulators, and industry self-regulatory organizations. He has also led internal investigations designed to assist clients in preventing or limiting the scope of potential enforcement action. He has been named repeatedly to the *Best Lawyers in America*.

Prior to joining Stradley Ronon, Greg was a senior counsel in the SEC's Division of Enforcement in Washington, D.C. During his eight years with the SEC, Greg was responsible for a number of significant enforcement investigations and actions and received a Division of Enforcement Director's Award.

RESULTS

- represented both traditional and "robo" investment advisers, fund administrators, fund auditors, senior officers, board members, portfolio managers, chief compliance officers and other individuals in connection with SEC sweeps and other investigations involving alleged fraud, breach of fiduciary duty, performance advertising, "pre-arranged" and other cross-trading, "odd lot" and other valuation issues, liquidity, investment limitations, algorithmic trading, tax loss harvesting, the custody rule, advisory, 12b-1 and other fees, principal trading, trade allocation, whistleblowers, collateralized debt obligations, private equity funds, revenue-sharing arrangements, numerous conflicts of interest and other disclosure issues, auditing standards, compliance policies and procedures and books and records, among other issues
- conducted numerous whistleblower-generated and other internal investigations on behalf of public company audit committees, banks, investment advisers, mutual fund independent trustees, broker-dealers and insurance companies regarding, for example, financial fraud, accounting issues, loan-loss assessment, cross-trading, trade allocation, valuation procedures, selling away and outside business activities

FOCUS

Securities Litigation & Enforcement
White-Collar Defense, Internal Investigations & Corporate Compliance
Investment Management Enforcement & Investigations
Public Companies
Investment Management
Litigation
Corporate & Securities
Cryptocurrency and Blockchain
Environmental, Social and Governance
Broker-Dealer

BAR ADMISSIONS

District of Columbia
Virginia

COURT ADMISSIONS

U.S. Court of Appeals for the Fourth Circuit
U.S. District Court for the Eastern District of Virginia

EDUCATION

J.D., University of Virginia School of Law
B.A., Cornell University

MEMBERSHIPS

American Bar Association, Business Law Section
District of Columbia Bar, Corporation, Finance and Securities Law Section
Virginia State Bar



Gregory D. DiMeglio

Page 2

- represented broker-dealers, supervisory and compliance personnel and other individuals in SEC and FINRA investigations concerning insider trading and other compliance policies and procedures, sales practices, supervision, equity-indexed and variable annuities, Regulation S-P, and Regulation SHO
- represented celebrity and other individuals in SEC Initial Coin Offering (ICO), financial fraud, Foreign Corrupt Practices Act, insider trading, and transfer agent-related investigations
- assisted investment advisers, funds and fund trustees in responding to deficiency letters, avoiding enforcement referrals and handling other matters related to SEC sweep, targeted, and routine examinations

SPEAKING ENGAGEMENTS

- Panelist, "SEC Enforcement and Investment Advisers: 2023 Is in the Books. How Will 2024 Look?" Stradley Ronon
- Presenter, "Financial Services Regulatory Workshop," Stradley Ronon CLE
- Speaker, "Litigation & Enforcement Cryptocurrency Considerations," Investment Management's Digital Assets Working Group: Cryptocurrency Legal Roundup - Securities, Derivatives, Enforcement & Litigation Updates
- Panelist, "Chairman Clayton's Impact on OCIE and Enforcement: Reset or Continuity?" Investment Company Institute's Securities Law Developments Conference
- Panelist, "Whither the ALJs?," ABA's National Institute on Securities Fraud
- Presenter, "Litigation/SEC Enforcement/OCIE Developments," Stradley Ronon Investment Management Group Regulatory Update CLE Seminar
- Moderator, "SEC Enforcement in the Trump Era," PACDL White Collar Practice Seminar
- Presenter, "SEC Hot Topics: Enforcement, Examinations and How to Respond," Alternative Asset Summit
- Panelist, "Investment Advisers Under Heightened Scrutiny: Lessons from Recent SEC Enforcement Actions," Strafford Webinar
- Panelist, "What's New at the SEC and FINRA: The Latest and Greatest Enforcement Theories," ABA's National Institute on Securities Fraud
- Panelist, "No Rest for the Weary: Don't Forget About OCIE and Enforcement!" ICI Securities Law Developments Conference
- Panelist, "Foreign Corrupt Practices Act and Other International Anti-Corruption Statutes," Pennsylvania Bar Institute
- Co-presenter, "SEC Hot Topics – Examinations, Enforcement and How to Respond," Financial Executives Alliance Seminar
- Panelist, "SEC Hot Topics: Enforcement, Examinations, New Regulations and How to Respond," Alternative Asset Summit



Gregory D. DiMiglio

Page 3

- Panelist, “Hot Topics in SEC Enforcement and Examinations,” ICI General Membership Meeting
- Presenter, “Foreign Corrupt Practices Act and Other International Anti-Corruption Statutes (Ethics),” Pennsylvania Bar Institute
- Presenter, “Alternative Assets – Treading with Care Around Hot Button Issues,” Financial Executives Alliance Seminar
- Presenter, “SEC Enforcement, OCIE and FINRA Hot Topics,” Alternative Asset Summit
- Presenter, “SEC Enforcement Update: Enter the New Winemaker,” Investment Company Institute’s Mutual Funds and Investment Management Conference
- Presenter, “The SEC’s Renewed Focus on Financial Fraud, Reporting and Audit Investigations,” Pennsylvania Institute of Certified Public Accountants’ Financial Institutions Conference
- Presenter, “Fundamentals of the Foreign Corrupt Practices Act,” Stradley Ronon CLE Seminar
- Moderator, “Office of Compliance Inspections and Examinations in the Post-Madoff Environment: Examiners with Attitude,” ABA’s Annual National Institute on Securities Fraud
- Presenter, “SEC Exams: What’s New and How Firms Can Prepare,” IA Watch’s Annual Investment Adviser Compliance Conference
- Presenter, “Inside Insider Trading: A Look at Galleon and Other Recent Cases,” ABA’s Annual National Institute on Securities Fraud

RECOGNITIONS

- The Best Lawyers in America
- *Suburban Life Magazine*, “Top Attorney”
- *Suburban Life Magazine*, “Five-star Attorney”
- U.S. Securities and Exchange Commission, Division of Enforcement, Director’s Award

