

A.J. Bosco, Special Counsel

A.J. Bosco's professional background and experience are unusually diverse. He has served as a prosecutor, regulator, in-house attorney at multi-national financial services institutions and as a corporate consultant with a leading forensic accounting and advisory firm.

A.J. has an intimate knowledge of how financial institutions work. A.J. has legal, compliance and regulatory experience across many sectors of the financial services industry, including corporate and investment banking, retail brokerage, ratings agencies and consumer services. In addition, A.J. advises on anti-money laundering, anti-bribery and corruption, sanctions, financial operations, and risk controls, licensing and other regulatory and compliance issues.



While working in-house, A.J. managed the relationship with many financial services regulators, including the SEC, FINRA, OCC, Federal Reserve Bank, and various state regulators. A.J. has overseen teams responsible for responding to a large number of regulatory inquiries and onsite examinations. He represents firms and individuals in SEC and FINRA examinations and enforcement proceedings, as well as FINRA customers arbitrations. Additionally, A.J. has extensive experience investigating whistleblower allegations involving a wide-range of fraud and corruption, having overseen the integrity hot lines at two major financial institutions. A.J. is experienced in the regulation and use of emerging technologies and Fintech products, including blockchain, virtual currencies and data analytics.

Before entering the private sector, A.J. was an Enforcement Division Branch Chief in the New York office of the SEC, where he oversaw investigations into insider trading, offering fraud, municipal securities fraud and money laundering. A.J. began his career in the Manhattan District Attorney's Office, where he became a skilled trial attorney and was a Deputy Bureau Chief in the Trial Division, supervising more than 40 attorneys.

A.J. is a frequent speaker on internal and governmental investigations, crypto assets, compliance programs, and financial regulation. He is an adjunct professor at Fordham University School of Law and a member of the Fordham Law School Advisory Board on Compliance. Additionally, A.J. co-chairs the ABA Business Law Section Business Crimes and Investigations Committee and is a member of the New York City Bar Association Compliance Committee. For 20 years A.J. has served as a faculty member at the Manhattan District Attorney's Office's Trial Advocacy Program.

A.J.'S AREAS OF EXPERTISE INCLUDE

- Financial Services Regulation, including representing companies and individuals before the SEC, FINRA, the New York State Department of Financial Service and other regulators.



OUR TEAM

- Representing companies and individuals in criminal proceedings, including trials.
- Conducting, managing and supervising internal investigations.
- Investigating whistleblower allegations involving a wide-range of fraud and corruption.
- The regulation and use of emerging technologies and Fintech products, including blockchain, virtual currencies and data analytics.
- Assessing and remediating compliance risks.
- Building effective regulatory relationships.
- Transforming compliance programs.