



ALEXANDER I. COHEN

PARTNER

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Alexander Cohen is a partner in Armstrong Teasdale's Securities Regulation and Litigation practice area. Alex has significant experience representing corporate and individual clients facing government and internal investigations as well as advising on compliance matters related to federal securities laws and SRO rules. He regularly represents clients before the U.S. Securities and Exchange Commission (SEC), the Financial Industry Regulatory Authority (FINRA), and state securities regulators across the country.

Alex also has deep experience handling complex securities and commercial litigation matters. His clients have included large private corporations, publicly traded companies, financial institutions and associated individuals. He has handled civil litigation cases for clients across state and federal courts, as well as alternative dispute resolution matters such as FINRA arbitrations, involving various claims such as breach of contract, breach of fiduciary duty, misappropriation, and fraud.

Alex's practice reflects a deep understanding of matters arising under the Exchange Act, the Securities Act, and the Advisers Act along with related SEC, FINRA and other SRO rules. Throughout his career, he has led and managed high-stakes investigations for many of the world's largest financial firms that implicate at least one of the federal securities laws or industry rules.

Alex served on secondment for approximately one year in the legal department of a major international broker-dealer, where he had the opportunity to handle securities related matters involving their core businesses such as investment banking, trading, wealth management, and equity research. Among his professional achievements as outside counsel include the negotiation of an AWC on behalf of a major broker-dealer in what was one of the first settlements entered during FINRA's Rights of Reinstatement sweep review.

BACKGROUND

Prior to joining Armstrong Teasdale, Alex spent over a decade at two AM Law 100 firms where he was an integral part of their securities enforcement and regulatory practice. Alex is formerly a member of a Chambers-ranked Securities Enforcement and Regulatory practice and has worked closely with some of the most experienced attorneys in the industry – including former leaders of SEC and FINRA Enforcement as well as former senior in-house attorneys of major brokerage firms – in defending clients against regulatory investigations and potential disciplinary action.

SERVICES AND INDUSTRIES

Governance and Compliance

Internal Investigations and
Regulatory Compliance

Private Equity and Venture
Capital

Securities Regulation and
Litigation

Financial Services and Banking

ADMISSIONS

New York

New Jersey

U.S. District Court, Southern
District of New York

U.S. District Court, Eastern
District of New York

While at Rutgers University, Alex participated in the Undergraduate Associates Program offered by RU's historic Eagleton Institute of Politics, which focused on the study of cutting-edge issues in politics and government with nationally recognized scholars and other industry leading figures. During law school, Alex participated in volunteer teaching opportunities at local high schools in Albemarle County through UVA's Street Law Program. Alex remained passionate about community investment and educational development while developing his legal practice in New York City. Alex was a steady volunteer for the Read Ahead program early in his career, and during the pandemic, helped an academic and professional development support program at City College of New York called The City Tutors spin off into a standalone 501(c)(3) nonprofit organization now based in Queens. Alex immediately joined the Board of Directors for The City Tutors upon its formation and continues to serve in this capacity. Today, CT services thousands of learners from historically underserved neighborhoods across New York City and boasts a volunteer corps of professionals, educators, and city residents who participate in remote and in-person programs with the support of various corporate and individual partners.

EDUCATION

- University of Virginia School of Law (J.D., 2015)
 - The Journal of Law and Politics, Editorial Board
 - UVA Pro Bono Legal Challenge
- Rutgers University (B.A., *summa cum laude*, 2011)
 - Political Science and Philosophy Major
 - Eagleton Associates Program
 - Pi Sigma Alpha
 - SAS Academic Scholarships
 - Boxley Fellowship

PROFESSIONAL ACTIVITIES

- Securities Docket, Advisory Board Member (2025)

CHARITABLE AND CIVIC INVOLVEMENT

- The City Tutors, Inc., Board of Directors (2020-present)

EXPERIENCE

Fraud Litigation Against Former Directors of a Bankrupt Canadian Company

Represented former directors of a defunct Quebec, Canada metal production company in their individual capacities in connection with a \$40 million-plus lawsuit brought by a lender in NY's Commercial Division alleging multiple counts of fraud for false and misleading statements made during the loan process.

FINRA Investigation into a Firm's Compliance with Gift and Entertainment Rules

Representation of registered representatives in a FINRA investigation of a broker-dealer concerning violations of industry rules governing non-cash compensation practices and

arrangements (i.e., via gifts and entertainment) with clients, prospects, and other third-parties.

SEC Investigation of an Investment Scheme to Defraud Retail Investors

Representation of a real estate investment firm in connection with an SEC investigation concerning its potential involvement in a scheme orchestrated by an accounting firm to defraud retail investors of an estimated \$50 million.

SEC Investigation Regarding Failure to Generate Trade Confirms for Retail Customer Transactions

Representation of a major broker-dealer in connection with an SEC investigation into its compliance with industry rules requiring the provision of trade confirmations to retail customers in connection with their purchase and sale of debt securities.

Internal Review/SEC Investigation Regarding BD and IA Recordkeeping Violations

Representation of a regional financial institution in connection with an SEC investigation concerning recordkeeping violations resulting from broker-dealer and investment adviser employees' use of personal devices for business communications (and related internal reviews for another regional financial institution which sought counsel regarding its duty to self-report similar record retention violations to the SEC and FINRA).

FINRA Sweep Review into a Broker-Dealer's Rights of Reinstatement Program

Representation of a broker-dealer in connection with a FINRA sweep review concerning the functionality and supervision of the rights of reinstatement and contingent deferred sales charge programs operated on the firm's mutual fund platform.

Parallel SEC and DOJ Investigations of an Asset Manager Regarding Potential Bond Market Manipulation

Representation of a global asset management firm in connection with parallel SEC and DOJ investigations into potential market manipulation of certain thinly traded municipal bonds during a period of illiquidity in the market.

SEC Investigation of NRSRO's Compliance with Conflict-of-Interest Rules

Representation of an issuer of certain mortgage-backed securities in an SEC investigation into whether a Nationally Recognized Statistical Rating Organization (NRSRO) complied with industry conflict of interest rules when assigning the credit ratings of those securities.

Parallel SEC and DOJ Investigations of a Broker-Dealer Regarding Suspicious Trade Activity

Representation of a major broker-dealer in connection with parallel government investigations conducted by the DOJ and SEC concerning potential insider trading activity involving prime brokerage customers.

FINRA Arbitrations Involving Prime/Retail Customer-Based Claims

Representation of broker-dealers (i.e., prime brokerage business) and associated individuals (i.e., financial advisors) in customer-based FINRA arbitrations concerning the prosecution and defense of various claims such as breach of contract, breach of fiduciary duty, fraud, misappropriation and unjust enrichment.

FINRA Surveillance and Market Intelligence Inquiries Issued to Market Participants

Representation of broker-dealers, public companies, and private equity firms in response to FINRA Surveillance and Market Intelligence inquiries focused primarily on

the detection of insider trading activity and other suspicious trade activity.

Government Testimony, Witness Interviews of Associated Individuals

Representation of associated individuals of interest ordered to provide on-the-record testimony or asked to participate in witness interviews conducted by the SEC, FINRA, or the DOJ in matters concerning, among other issues, insider trading activity, false or misleading statements, conflicts of interest, and investment suitability.

THOUGHT LEADERSHIP

March 16, 2026

Foreign Private Issuer Insider Reporting Requirements Take Effect This Week

February 11, 2026

FINRA Proposes to Finalize Updates to Outside Business Activity Rules

January 23, 2026

5 Compliance Takeaways From FINRA's Oversight Report

Law360

May 2025

SEC Compliance and Enforcement Answer Book (2025 Edition)

Practising Law Institute

February 28, 2025

SEC Examination 2025 Priorities Report Summary

LexisNexis

January 13, 2024

Parsing SEC's Emerging Trend of Section 204A Enforcement

Law360