



## Wayne M. Carlin

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**Wayne M. Carlin is a partner in Wachtell, Lipton, Rosen & Katz's Litigation Department. His areas of expertise include the representation of investment banking and financial services firms, as well as *Fortune 500* companies, in connection with the defense of regulatory, white-collar criminal and complex civil litigation matters. He also advises clients on the design of compliance policies and systems, and in the conduct of internal investigations.**

Before joining the firm, Mr. Carlin was regional director of the Northeast regional office of the United States Securities and Exchange Commission from 2000 to 2004. He previously served in a variety of positions on the Securities and Exchange Commission's enforcement staff from 1993 to 1997 and from 1999 to 2000. Mr. Carlin was head of regulatory affairs at Lazard Frères & Co. from 1997 to 1999.

Mr. Carlin received an A.B. *magna cum laude* from Harvard College in 1981. He received his J.D. from Harvard Law School in 1984 and served as an editor of the *Harvard Law Review*. Mr. Carlin is a frequent speaker on subjects relating to enforcement of the federal securities laws. In 2005 and 2006, Mr. Carlin was a member of the Task Force on the Role of Lawyers in Corporate Governance of the Association of the Bar of the City of New York, and previously served on the Securities Regulation Committee and the Financial Reporting Committee. He is a member of the Board of Directors of the Association of SEC Alumni and is a member of the Board of Advisors of the SEC Historical Society.

Recent Publications

[Risk Management and the Board of Directors](#), in Harvard Law School Forum on Corporate Governance and Financial Regulation, November 20, 2019.

[The Wells Process at the Conclusion of an SEC Investigation](#), SEC Compliance and Enforcement Answer Book 2020, New York: Practising Law Institute, 2020 (2019, 2017, 2016 and 2015 Eds.).

[A Reminder About Corporate Crisis Communications](#), in Harvard Law School Forum on Corporate Governance and Financial Regulation, March 16, 2019.

[SEC Enforcement Action for Non-GAAP Financial Measures Where Comparable GAAP Financial Measures Not Given Equal or Greater Prominence](#), in Harvard Law School Forum on Corporate Governance and Financial Regulations, January 5, 2019.

[Supreme Court Requires SEC Judges to Be Appointed by the SEC or President](#), in Columbia Law School's Blog on Corporations and the Capital Markets, June 26, 2018.

[SEC Releases New Guidance on Cybersecurity Disclosures and Controls](#), in Compliance & Enforcement, a blog of NYU Law's Program on Corporate Compliance and Enforcement, February 23, 2018.

[White Collar and Regulatory Enforcement: What to Expect in 2018](#), in Columbia Law School's Blog on Corporations and the Capital Markets, January 31, 2018.

[Responding to Pushback, New York Regulators Revise Proposed Cybersecurity Regulations](#), in Compliance & Enforcement, a blog of NYU Law's Program on Corporate Compliance and Enforcement, January 18, 2017.

[With Cybercrime on the Rise, Financial Regulators Advance Stricter Cybersecurity Regulations](#), in Compliance & Enforcement, a blog of NYU Law's Program on Corporate Compliance and Enforcement, October 28, 2016.

[SEC Clawbacks of CEO and CFO Compensation](#), in Harvard Law School Forum on Corporate Governance and Financial Regulation, September 15, 2016.

[The SEC and Whistleblowers: A Spotlight on Severance Agreements](#), in Harvard Law School Forum on Corporate Governance and Financial Regulation, August 23, 2016.

[The Stakes Go Up in SEC Administrative Proceedings](#), in Harvard Law School Forum on Corporate Governance and Financial Regulation, August 12, 2016.

[SEC Imposes Sanctions for Failure to Protect Customer Information from Insider Data Breach](#), in Securities Reform Act Litigation Reporter Interim Report, July 13, 2016.

[The New European Union Market Abuse Regulation](#), in Oxford Business Law Blog, May 3, 2016.

[DOJ Adopts New Requirements for Corporations Seeking Credit for Cooperation](#), in Harvard Law School Forum on Corporate Governance and Financial Regulation, September 14, 2015.