



Wayne M. Carlin

Partner, Litigation

P: 212.403.1324

F: 212.403.2324

WMCarlin@wlrk.com

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 University 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

[Implications of the SEC's "Shadow Trading" Verdict](#), in NYU Law School's Blog on Compliance and Enforcement, April 18, 2024.

[White-Collar and Regulatory Enforcement: What Mattered in 2023 and What to Expect in 2024](#), in NYU Law School's Blog on Compliance and Enforcement, February 8, 2024.

[The SEC's Enforcement Action Against SolarWinds Underscores Growing Scrutiny Over Cybersecurity Internal Controls, Reporting and Disclosures](#), in NYU Law School's Blog on Compliance and Enforcement, November 13, 2023.

[Risk Management and the Board of Directors](#), in Harvard Law School Forum on Corporate Governance, September 30, 2023.

[A Sign of the Times in SEC Cyber Enforcement](#), in NYU Law School's Blog on Compliance and Enforcement, April 12, 2023.

[White-Collar and Regulatory Enforcement: What Mattered in 2022 and What to Expect in 2023](#), in NYU Law School's Blog on Compliance and Enforcement, March 2, 2023.

[Risk Management and the Board of Directors](#), in Harvard Law School Forum on Corporate Governance, September 17, 2022.

[White-Collar and Regulatory Enforcement: What Mattered in 2021 and What to Expect in 2022](#), in Harvard Law School Forum on Corporate Governance, February 2, 2022 and [Columbia Law School's Blog on Corporations and the Capital Markets](#), February 10, 2022.

[Revisiting Whistleblower Response Procedures in Light of SEC's Whistleblower Bounty Payments Milestone](#), in Harvard Law School Forum on Corporate Governance, September 21, 2021.

[SEC Maintains Focus on Contingent Liabilities](#), in Harvard Law School Forum on Corporate Governance, August 27, 2021.

[A New Variation in SEC Insider Trading Enforcement](#), in Harvard Law School Forum on Corporate Governance and Financial Regulation, August 20, 2021, [Columbia Law School's Blog on Corporations and the Capital Markets](#), August 23, 2021 and [NYU Law School's Blog on Compliance and Enforcement](#), August 21, 2021.

[Latest SEC Enforcement Action Reinforces Critical Need to Maintain Effective Disclosure Controls Concerning Cybersecurity Breaches and Risks](#), in Harvard Law School Forum on Corporate Governance,

August 18, 2021 and [Columbia Law School's Blog on Corporations and the Capital Markets](#), August 20, 2021.

[A New Angle on Cybersecurity Enforcement from the SEC](#), in Harvard Law School Forum on Corporate Governance and Financial Regulation, June 26, 2021.

[Is the SEC Pushing the Boundaries of Regulation FD?](#), in Harvard Law School Forum on Corporate Governance, March 10, 2021.

[SEC Division of Enforcement Forms New Climate and ESG Task Force to Target ESG-Related Misconduct and Potential Violations](#), in NYU Law School's blog on Corporate Compliance and Enforcement, March 5, 2021.

[White-Collar and Regulatory Enforcement: What Mattered in 2020 and What to Expect in 2021](#), in NYU Law School's Blog on Compliance and Enforcement, February 4, 2021.

[The New SEC Regulation S-K Rules: Practical Advice for Companies](#), in Harvard Law School Forum on Corporate Governance, October 14, 2020.

[Supreme Court Limits SEC Disgorgement Remedy](#), in Harvard Law School Forum on Corporate Governance, June 27, 2020.

[Remaining Attuned to Internal Whistleblower Reports](#), in Harvard Law School Forum on Corporate Governance, May 16, 2020.

[What to Say on Your Next Earnings Call in the Time of Covid-19: Providing Insights, Disclosing Scenarios and Managing Risks](#), in Harvard Law School Forum on Corporate Governance, April 23, 2020.

[White Collar and Regulatory Enforcement in the Era of Covid-19](#), in NYU Law School's Blog on Compliance and Enforcement, April 7, 2020.