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Wayne M. Carlin is currently Of Counsel at Wachtell, Lipton, Rosen & Katz, after having been a partner in the Litigation Department for more than 20 years. He represents public companies, audit committees, financial institutions, board members and senior executives in SEC and other regulatory enforcement proceedings, as well as white collar criminal investigations and internal investigations. His wide-ranging experience includes investigations concerning accounting practices, insider trading, public disclosure, securities offerings, trading market practices, investment management and foreign payments matters.

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.

Recent Publications

[Wachtell Lipton Discusses Supreme Court Rejection of Investor-Loss Limit on SEC Disgorgement](#), in Columbia Law School's Blog on Corporations and the Capital Markets, June 9, 2026.

[Risk Management and the Board of Directors](#), in Harvard Law School Forum on Corporate Governance, September 25, 2025.

[White-Collar and Regulatory Enforcement: What Mattered in 2024 and What to Expect in 2025](#), in Harvard Law School Forum on Corporate Governance, February 5, 2025 and [NYU Law School's Blog on Compliance and Enforcement](#), February 28, 2025.

[Wachtell Lipton Discusses the SEC's Disbanding of Its ESG Enforcement Task Force](#), in Columbia Law School's Blog on Corporations and the Capital Markets, September 20, 2024.

[Wachtell Lipton Offers Summer Takeaways in SEC Enforcement](#), in Columbia Law School's Blog on Corporations and the Capital Markets, September 5, 2024 and [NYU Law School's Blog on Compliance and Enforcement](#), September 16, 2024.

[Wachtell Lipton Discusses DOJ Insider Trading Verdict Based on Use of 10b5-1 Plans](#), in Columbia Law School's Blog on Corporations and the Capital Markets, June 28, 2024

[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.