

→ Recognitions

Jeff Kern Named to *Securities Docket's* 'Enforcement Elite' List for 2024

Securities Docket

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Jeff Kern, co-leader of the firm's Securities Enforcement & Litigation Team and also Managing Partner of the New York office, was named to *Securities Docket's* "Enforcement Elite" list for 2024. The list honors the best securities enforcement defense counsel in the industry. According to the *Docket*, this list "honors professionals who not only have the right stuff to handle bet-the-company matters, but are also the kind of defense specialists critical to have on speed-dial should the SEC's Division of Enforcement come calling."

Kern's practice focuses on white collar defense, securities and insurance regulation, compliance, and litigation as well as internal investigations. He is the go-to counsel to broker-dealers and associated individuals who are the focus of SEC, FINRA and other regulatory investigations and provides guidance in the FINRA membership application and business expansion process. He has particular expertise with SRO litigation, corporate investigations and investigative testimony. He also has experience assisting broker-dealers obtain approval to conduct a digital assets business.

Before joining Sheppard Mullin, Kern served as Senior Regional Counsel in FINRA's Department of Enforcement and Senior Trial Counsel in the New York Stock Exchange Enforcement Division. In both positions, he investigated and prosecuted violations of NYSE, NASD, FINRA and SEC rules and federal securities laws.

[Click here to view the entire Enforcement Elite 2024.](#)

Attorneys

Jeff Kern

Practice Areas

Governmental

Securities Enforcement

Securities Litigation