

**Eric J. Swanson**

Personal Privacy



**EXPERIENCE: The Securities and Exchange Commission  
Office of Compliance Inspections and Examinations (OCIE)  
Washington, DC**

*Assistant Director August 2000 to present  
Branch Chief: January 1999 to July 2000  
Staff Attorney: August 1996 to January 1999*

**Current responsibilities:** Supervise attorneys and examiners conducting federal securities law compliance examinations of self regulatory organizations ("SROs"), broker-dealers, investment advisers, and transfer agents. Primary responsibilities include identifying regulatory risks, scheduling and conducting on-site examinations of registered entities' regulatory and compliance programs, interviewing registrant personnel, document review, developing surveillance and examination programs, drafting and editing reports of findings and recommendations, and presenting findings to the Commission.

**Substantive areas of focus:** floor trading and market-making, retail and institutional best execution, retail sales practice compliance issues, market structure issues, research analyst/investment banking conflicts of interest, anti-money laundering, institutional market timing and late trading, regulation of alternative trading systems, broker-dealer and institutional firewalls related to the handling of material, non-public information, market manipulation and insider trading, and regulation of securities transfer agents.

**Public speaking:** Frequent speaker at Securities Industry Association meetings around the country. Regular speaker since 2003 at the NASD Institute at Wharton Certificate Program for securities compliance professionals.

Conducted market surveillance and examination training sessions for securities regulators in India and Panama. Regular speaker at the SEC's International Institute training programs for foreign securities regulators.

**SEC Awards:** Capital Markets Award (August 2004), related to OCIE's examinations of investment banking/research analysts' conflicts of interest; Chairmen's Award of Excellence (December 1998), related to OCIE's identification of serious and systemic deficiencies with exchange regulatory programs.

**The Honorable Donald S. Russell, United States Court of Appeals,  
Fourth Circuit**

*Spartanburg, S.C.; September 1995 to August 1996*

Law clerk to the Honorable Donald S. Russell: Researched and prepared bench memoranda and opinions.

**United States Court of Appeals, Fourth Circuit, Office of Staff Counsel**  
*Richmond, Virginia; April 1994 to September 1995*

Staff Counsel: Researched and prepared written memoranda and proposed per curiam opinions for cases pending before the Fourth Circuit Court of Appeals. Orally presented recommended dispositions on select pending cases before a three-judge panel. Responded to judge's comments, criticisms, and inquiries.

**Hennepin County Public Defender's Office**

*Minneapolis, Minnesota; May 1992 to April 1994*

Supervisory Law Clerk: Managed staff of sixteen law clerks, including assigning projects and editing all written memoranda for court submission in defense of indigent clients at each stage of criminal proceedings.

**EDUCATION: Hamline University School of Law; Saint Paul, Minnesota**

Degree: Juris Doctor, Cum Laude awarded May 1993

Activities: Articles Editor, *Hamline Law Review*  
Student Bar Association Ways and Means Committee Member  
Peer support counselor

Honors: Awarded and maintained Hamline merit scholarship  
Dean's List

Publication: *The Reservation Gaming Craze: Casino Gambling Under The Indian Gaming Regulatory Act of 1988*. 15 Hamline L. Rev. 471 (spring 1992) (available on Westlaw)

**University of Minnesota; Minneapolis, Minnesota**

Degree: Bachelor of Arts, June 1990  
Major: Economics  
G.P.A.: Cumulative 3.48; Major 3.62  
Honors: Dean's List

**REFERENCES AVAILABLE**