

Richard M. Phillips

Richard M. Phillips is a senior partner at K&L Gates. He concentrates his practice in securities regulation, particularly investment management, broker/dealer and SEC enforcement.

Mr. Phillips previously held various positions on the SEC staff, including Assistant to the Chairman; Assistant General Counsel; and Staff Director of SEC Corporate Disclosure and Investment Company Studies.

Professional/Civic Activities:

- William O. Douglas Award of the SEC Alumni Association for contributions to the development of securities law and service to the financial and SEC communities over the years, 2001
- Chair, Section of Business Law, American Bar Association, 1993-1994
- Vice-Chair and Editor *The Business Lawyer*, Section of Business Law, American Bar Association, 1991-1992
- Chair, Committee on Federal Regulation of Securities, Section of Corporation, Banking and Business Law, American Bar Association, 1983-1986
- Chair, Executive Council, Federal Bar Association, Securities Law Committee, 1981-1983
- Member, Legal Advisory Committee of the National Association of Securities Dealers, Inc., 1988-1993
- Member, Regulatory Affairs Advisory Committee, New York Stock Exchange, 1992-1996
- Member of Advisory Boards; Bureau of National Affairs, publication entitled *Securities Regulation and Law Reports*; Standard & Poor's publication entitled *Review of Securities Regulation*
- Frequent lecturer at securities law conferences, including conferences sponsored by the American Bar Association, American Law Institute, Bureau of National Affairs, Federal Bar Association, Institutional Investor Magazine and Practicing Law Institute
- Leader of Delegations of Corporate and Securities Lawyers to China, Eastern Europe and Russia, November, 1985 to August, 1992
- Consultant to Minister of Finance on Korean Securities Markets, 1975
- Consultant to AID on Brazilian Securities Markets, 1970-1972

Bar Admissions: California; District of Columbia; New York

Education: L.L.B., Yale Law School (1956); B.A., Columbia University (1953)