



## Jody Rosen

Counsel

+1 202 239 3472 | [jody.rosen@alston.com](mailto:jody.rosen@alston.com)

**Washington, D.C.** | The Atlantic Building, 950 F Street, NW | Washington, DC 20004-1404

### *Related Services*

Corporate & Finance ■ Financial Services & Products ■ Broker-Dealers ■ Investment Funds

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Jody Rosen advises broker-dealers in regulatory compliance and enforcement matters involving the U.S. Securities and Exchange Commission (SEC), Financial Industry Regulatory Authority (FINRA), and state regulatory agencies. His experience includes the creation and implementation of compliance programs and manuals, managing information barriers and inter-departmental conflicts of interest, licensing issues, record retention, electronic communication supervision, and AML reviews and monitoring. Before joining the firm, Jody served as general counsel and chief compliance officer to a full-service broker dealer, where he led the response to multiple examinations and inquiries of the SEC, FINRA, and state securities commissions.

### *Education*

- The Catholic University of America (J.D., 2005)
- University of Maryland (B.S., 2001)

### *Admitted to Practice*

- District of Columbia
- Maryland