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Mirella deRose

Counsel

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Related Services

Securities Litigation ■ White Collar, Government & Internal Investigations ■ Financial Services Litigation

Mirella deRose has over 17 years of experience and focuses her practice on white collar criminal and regulatory matters, government and internal investigations, financial crimes compliance, and real estate litigation. She has represented clients in intricate proceedings and high-risk investigations led by the Financial Industry Regulatory Authority (FINRA), Department of Justice, Securities and Exchange Commission, Office of Foreign Assets Control, and state attorneys general.

Before establishing her private practice in 2016, Mirella served as principal counsel in FINRA's Enforcement Department, where she acted as the primary attorney in the High-Risk Broker Unit. She led investigations into broker-dealers and associated individuals involving ongoing securities fraud, money laundering, theft and mishandling of customer funds, failures to properly register securities, and supervisory failures including failures to detect and report suspicious transactions.

Before joining FINRA, Mirella was an assistant district attorney in the Trial Division of the Manhattan District Attorney's Office for eight years. She prosecuted complex financial and criminal matters, gaining significant investigations, trial, and grand jury experience.

Representative Experience

Government Investigations

- Represented employees of a major international bank in a joint state and federal sanctions investigation into the bank's handling of U.S. dollar transactions.
- Represented a senior employee of a multinational financial institution in an internal investigation stemming from the institution's relationship with clients embroiled in a foreign corruption probe.
- Represented the CFO and CCO of a broker-dealer in a FINRA investigation into the broker-dealer's failure to supervise employees' outside business activities and investment accounts.
- Advised a national corporation on BSA/AML/OFAC and SEC/CFTC regulatory compliance obligations triggered by a loan purchase.
- Represented numerous individuals in investigations and enforcement actions initiated by the SEC, CFTC, FINRA, DOJ, and OFAC.

Civil Litigation

- Representing a provider of coworking space in national arbitrations involving complex partnership and contractual disputes.
- Represented the president of a major cryptocurrency exchange in an AAA employment arbitration.

Publications & Presentations

Publications

- “Dream On--FINRA Issues Its First Litigated Enforcement Action Against a Crowdfunding Portal,” *Business Law Today*, August 2019.
- “Emerging FINRA Priorities Include Digital Assets, RegTech,” *Law360*, March 2019.
- “4 AML Insights Broker-Dealers Should Carry Into 2019,” *Law360*, January 2019
- “‘A Little Knowledge is a Dangerous thing’ - Derivative Litigation Sought to Hold Board Members Responsible for Breaches in BSA/AML Compliance,” *KYC360*, November 2016.
- “Banks Need More Concrete Regulatory Steps on De-Risking,” *American Banker*, November 2016.
- “Cases Illustrate Weaknesses in N.Y. Theft Statutes and Need for Reform,” *New York Law Journal*, September 2016.
- “The Risks of De-Risking,” *Compliance & Enforcement*, New York University, September 2016.
- “Going Back to the ABCs of Compliance,” *KYC360*, July 2016.
- “Making Sure Today's Foreign Investment Does Not Become Tomorrow's Sanctions Violation,” *KYC360*, May 2016.

Professional & Community Engagement

- SIFMA Compliance and Legal Society
- NYU Program on Corporate Compliance and Enforcement
- Manhattan District Attorneys Association
- New York City Bar Association New York State Bar Association, Business Law Section, Securities Regulation Committee

Court Admissions

- U.S. District Court for the Eastern District of New York U.S. District Court for the Southern District of New York

Education

- New York University (J.D., 2006)
- Harvard College (B.A., 2001)

Languages

- Spanish
- Italian

Admitted to Practice

- New York