



ELLENOFF GROSSMAN & SCHOLE LLP

is pleased to announce that

William B. (“Bill”) Peterson

has joined the Firm as a Member in its Broker-Dealer Regulation and Corporate and Securities Practices

William B. (“Bill”) Peterson specializes in advising on broker-dealer legal issues and regulatory compliance matters together with related regulatory inquiries, investigations, examinations and enforcement matters.

Mr. Peterson has over 25 years of varied legal and compliance experience in the financial services industry. He joins the Firm from Cowen Securities (formerly Dahlman Rose & Co.), where he was the registered Chief Compliance and AML Officer for the past 6 years. Prior to this, he served in legal and compliance roles for 17 years at Morgan Stanley (and predecessor firms) and 3 years at Citigroup Global Markets. Mr. Peterson’s broker-dealer, regulatory, compliance and litigation experience covers areas across the retail and institutional customer, investment banking, capital markets, sales and trading and research businesses of broker-dealers. He has extensive experience in designing, advising on and implementing policies, procedures and compliance programs. He also has significant experience in handling regulatory inquiries, investigations, examinations and enforcement proceedings, managing and responding to customer complaints, and defending arbitrations and litigation.

Mr. Peterson is a graduate of Stuyvesant High School, Brooklyn College *summa cum laude* and Georgetown University Law Center *cum laude*, where he was case and notes editor of the international law journal. Before he began his in-house legal and compliance career, he spent three years in private practice with Reed Smith, and then served for 3 years as an Assistant United States Attorney for the Eastern District of New York.

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