

People



## Joel S. Forman

Partner, Litigation

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vCard

Joel Forman defends financial services companies and professionals in securities litigation and government investigations concerning allegations of corporate and individual misconduct. His litigation experience includes federal and state court trials and appeals, arbitrations and mediations involving sales practices and supervision, insider trading, money laundering, prime brokerage, trade execution and clearing, research, privacy and cybersecurity, public and private funds, commodity futures, variable annuities, securities lending, and sales charges, fees and commissions.

In government enforcement matters, Joel represents clients before the U.S. Securities and Exchange Commission, Financial Industry Regulatory Authority (FINRA), Commodity Futures Trading Commission, CME Group Inc., Financial Conduct Authority (UK) and state securities regulators in inquiries, investigations, cycle, sweep and cause examinations, Wells submissions, actions and administrative proceedings covering a considerable range of purported misconduct. He also represents companies in SEC broker-dealer and investment adviser registrations, disclosure documents including investment adviser brochures, as well as filing new and continuing membership applications with FINRA. Joel previously served as a staff attorney for the New York Regional Office of the U.S. Securities and Exchange Commission in the Division of Enforcement. Joel's broad base of clients includes broker-dealers, investment advisers, investment banks, commodity futures trading firms, mutual funds, hedge funds, boards of directors and industry executives, managers and employees.

In 2015, 2016 and 2020, Joel was named BTI Client Service All-Star, a recognition of lawyers across the United States who are unsurpassed in their delivery of client service through superior client focus, innovative thought leadership, unmatched business understanding, oversized value, legal skills, and outstanding results.

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### Areas of Experience

Litigation  
 Securities Litigation  
 White Collar Crime and Government Investigations  
 Broker-Dealer  
 Financial Institutions Commercial Litigation  
 Financial Services  
 Private Equity Litigation

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### Education

J.D., St. John's University School of Law, with honors  
 B.A., The City University of New York, Queens College,  
 Economics

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### Admissions

#### Bars

New York

#### Courts

U.S. District Court, Southern District of New York  
 U.S. District Court, Eastern District of New York  
 U.S. Court of Appeals, Second Circuit

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### Related Content

Joel Forman Selected Among BTI Consulting's 2020 Client Service All-Stars  
 December 10, 2020

Akerman's Litigation Bench Expands in West Palm Beach with Grasford Smith  
 February 18, 2020

Veteran Litigator Joel Forman Joins Akerman in New York  
 October 30, 2019

## Published Work and Lectures

- *Media & Privacy Risk Report*, Author, “SEC Practice What You Preach on Privacy,” April 22, 2019
- ThinkAdvisor Webinar, Speaker, “The DOL Fiduciary Rule Part II –Deciphering the Final Rule,” May 11, 2016

## Related Professional Experience

- SEC New York Regional Office, Division of Enforcement, Staff Attorney
- United Merchants and Manufacturers, Inc., Assistant General Counsel

## Affiliations

- American Bar Association, Member
- New York City Bar Association, Member
- Securities Industry and Financial Markets Association, Compliance & Legal Society, Member

## Honors and Distinctions

- *Thomson-Reuters*, Named a “Stand-Out Lawyer,” 2023
- BTI Client Service All-Star Award, 2015, 2016, and 2020
- Securities Regulation Committee, New York City Bar Association, 2003-2006