

# Stevens & Lee

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## Richard C. Szuch

Shareholder

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## Areas of Focus

### Practice

Litigation

Richard is an experienced trial lawyer who has worked in the financial services arena for decades. Richard provides strategic counsel to regional and national investment advisers, broker dealers, banks and insurance companies regarding risk management, regulatory obligations, internal investigations and litigation/arbitration/regulatory defense. He co-leads Stevens & Lee's Senior Investor Compliance Services Team, which focuses on providing firms with key guidance to help their investors confront exploitation and scams.

Richard joined Stevens & Lee after serving four years as the Enforcement Chief for the New Jersey Bureau of Securities. While there, he oversaw hundreds of investigations involving offering fraud, misuse of funds, fee disclosures, point of sale disclosure, suitability/Regulation Best Interest, digital assets and senior exploitation, among others, and acted as the Enforcement Unit's lead interrogator. On a national scale, he participated in multi-state securities fraud investigations and collaborated with federal and state criminal and regulatory agencies to investigate and prosecute widespread frauds that impacted investor confidence and the securities markets.

Prior to working in Enforcement, Richard had 25 years of experience advising and defending the financial services industry. He steered the defense strategies and was the first-chair trial lawyer in some of the largest FINRA securities arbitrations in the country, including cases related to the fallout from the 2000 and 2008 market crashes and Puerto Rico's debt repricing in 2013.

Richard chaired the Senior Issues Committee for the North American Securities Administrators

Association. While there, he worked to build bridges among all stakeholders regarding policy, process and execution in the senior investor space.

Over the years, Richard has defended hundreds of witnesses called to give testimony before the SEC, FINRA and state regulators, and he frequently lectures about his work experience, the financial markets and industry issues at the SEC, FINRA, NASAA, NSCP, SIFMA and similar conferences.

### Affiliations

- New Jersey State Bar Association, Securities Litigation and Regulatory Enforcement Committee, Founder
- SIFMA Compliance and Law Society
- National Adult Protective Services Association, Advisory Board
- National Society of Compliance Professionals

### Education

- University of Pittsburgh School of Law, J.D.
- Emory University, B.A..

### Bar Admissions

- New Jersey