



Frank J. Weigand

PARTNER

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Frank J. Weigand is Chair of Cahill's Trading & Markets Group and a member of the firm's Digital Assets and Emerging Technology Group.

Frank focuses his practice on securities, commodities, and digital assets matters, and his clients include a broad range of market participants, including banks, broker-dealers, and funds as well as a full spectrum of participants across the digital asset markets.

Frank advises clients on both regulatory and transactional matters, with a particular focus on solving strategically complex problems and working with clients to develop new products. His many years of experience advising regulated entities in traditional markets gives him the depth and context needed to appropriately advise on regulatory implications relevant to digital asset matters.

From a subject matter standpoint, Frank possesses an intimate knowledge of broker-dealer and securities regulation having previously served as general counsel of two broker-dealers: HSBC Securities (USA) Inc, and Oasis Pro Markets, LLC. He also has spent the vast majority of his career advising on trading, derivatives, and structured transactions relating to asset classes, including equities, fixed income, FX, precious metals, and credit. From 2016 to 2021, Frank was the Americas Head of Legal for HSBC's Global Markets division, a role in which he was responsible for managing the legal and regulatory risk for HSBC's trading and derivatives activities in the United States and throughout the Americas region. As a result of this firsthand experience advising numerous business lines within a global financial institution, Frank is capable of providing practical risk-based advice on a real-time basis, which is of critical importance to firms running trading businesses.

Frank has also advised clients on investigations and enforcement matters and has significant experience with large-scale global compliance matters from both a proactive and remedial standpoint.

SELECTED MATTERS

Traditional Financial Services Matters

- Advising dealers and end users on transactional and regulatory matters relating to swaps and security-based swaps
- Representing clients in matters involving the SEC, FINRA, CFTC, and NFA
- Advising broker-dealers on a broad range of regulatory and compliance matters ranging from FINRA membership applications, implementation of new rules, associated person licensing, and branch registration issues
- Advising a global bank in connection with its policies, procedures, and trading practices relating to "block trades," including with respect to information barriers and the utilization of confidential information
- Advising clients on cross-border securities and derivatives matters, including SEC Rule 15a-6

Digital Asset Matters

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- Advising investment banks and asset management firms on tokenizing financial products, offering crypto currency-related investment products to customers, and blockchain technology in connection with streamlining firm operations
 - Providing advice to a global digital assets company regarding the applicability of US securities and commodities regulations to the firm's existing and planned product suite, structuring transactional matters, and managing compliance considerations
 - Advising multiple digital asset firms on US legal and regulatory considerations relating to the establishment of offshore entities to establish crypto asset trading capabilities (both spot and derivatives) and issue tokens

Professional Activities

- Member | NYC Bar Subcommittee on Digital Assets (2023-present)
- Member | NYC Bar Futures and Derivatives Committee (2023-present)
- Federal Reserve Bank of New York | Financial Markets Lawyers Group (FMLG) (2014 – 2021)
- Co-Chair | PLI's annual "Understanding the Securities Laws" (2022)
- Co-Chair | PLI's annual "Pocket MBA for Lawyers" (2017 – 2021)
- NYC Bar Association | In-House Counsel Committee (2016 – 2019)
- Guest Lecturer on Digital Assets | Fordham Law School and Columbia University

Education

Fordham University School of Law, J.D., 2003, *Law Review*

Fordham University, B.S., 1997, *summa cum laude*

Practices

Banking & Finance

Broker-Dealer – Regulatory & Litigation

Capital Markets

Corporate Governance & Compliance Advisory

CahillINXT – Digital Assets & Emerging Technology

International Trade & Investments

Securities Litigation, Regulation & Enforcement

Trading & Markets

Admission

New York