



Peter Unger

Partner

Peter Unger is a Partner in Howrey's Washington DC office, where he serves on the Global Litigation Section's Securities Litigation, Government Enforcement and White Collar Defense practice management group. His practice focuses on representing parties in investigations and litigations conducted primarily by the Securities and Exchange Commission, self-regulatory organizations and state securities regulators; conducting internal investigations; providing crisis management and corporate governance; and counseling advice to public and private companies and counseling public companies and regulated entities on their obligations under federal securities laws.

Prior to entering private practice, Mr. Unger served as a law clerk to the Honorable Norman C. Roettger Jr, former Chief Judge of the United States District Court for the Southern District of Florida, and as an attorney in the SEC's Division of Enforcement. He is listed in *Who's Who in American Law*, *Who's Who in America* and *Who's Who in the World*.

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ADMISSIONS

District of Columbia
Ohio

EDUCATION

Georgetown University Law
Center (LLM, 1987)

University of Cincinnati College of
Law (JD, 1983)

Miami University (BA, 1980)

CLERKSHIP

Hon. Norman C. Roettger, United
States District Court for the
Southern District of Florida (1983-
1985)

REPRESENTATIVE MATTERS

- *Accounting fraud matter.* Represented an international pharmaceutical manufacturer and board members in an SEC and DOJ investigation and class action regarding alleged accounting fraud.
- *FCPA due diligence.* Serves as FCPA outside counsel for an oil services company, including but not limited to conducting due diligence on current and potential company agents in China, Vietnam, India, Thailand, United Arab Emirates and Korea.
- *FINRA investigations.* Represents a regional broker-dealer in multiple Financial Industry Regulatory Authority (FINRA) investigations involving various regulatory matters.
- *Insider trading matter.* Represents a former hedge fund manager in SEC insider trading investigations.
- *Oil services internal investigation.* Conducted an internal investigation for independent members of the board of an oil services company. Negotiated a favorable SEC settlement of the issues involved.
- *SEC investigation of a regional stock exchange.* Represented a regional stock exchange in an SEC investigation pertaining to alleged regulatory violations.

COURTS & ADJUDICATIVE BODIES

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- United States District Court for the District of Columbia
- United States Supreme Court

PROFESSIONAL AFFILIATIONS

- Member, American Bar Association, Business Law Section, Federal Regulation of Securities Committee and Civil Litigation and SEC Enforcement Matters Subcommittee; Litigation Section, Securities Litigation Committee.
- Member, District of Columbia Bar Association, Corporation, Finance and Securities Law Section; elected to serve on the Steering Committee.

PUBLICATIONS & SPEAKING ENGAGEMENTS

SPEECHES

"Comparing Enforcement Approaches: Does a Border Make a Difference?" Dialogue with the OSC (Ontario Securities Commission) (November 27, 2007). Panelist, with Director of OSC Enforcement Branch and Director of U.S. SEC Division of Enforcement.

"Hot Topics in Corporate Governance." 2007 Legal Council Fall Seminar (November 2, 2007).