About the Author

After serving for more than a decade as an Assistant Chief Litigation Counsel with the SEC’s Division of Enforcement, Mr. Flynn was Chief Litigation Counsel for FINRA’s (and its predecessor NASD’s) Department of Enforcement for thirteen years. He later served as Associate General Counsel with the SEC’s Office of the General Counsel, heading its Adjudication practice group. Adjudication advises and assists the Commission in drafting its opinions in appeals from disciplinary decisions issued by administrative law judges, self-regulatory organizations (of which there are more than thirty, with FINRA being the largest), and the Public Company Accounting Oversight Board (the independent oversight body created by the Sarbanes-Oxley Act of 2002 to replace the accounting profession’s system of self-regulation). Mr. Flynn received his J.D. from the Benjamin N. Cardozo School of Law, Yeshiva University and his LL.M. in Securities & Financial Regulation from Georgetown University Law Center, where he later returned to teach. The views expressed here are his. They do not necessarily reflect those of the SEC, FINRA, or their staffs.