

Mark T. Carberry

PARTNER

Mark Carberry is a veteran financial services legal and compliance professional, with some 25 years of experience representing and counseling financial services entities and employees in a broad range of civil, regulatory, and enforcement matters. He is widely recognized and sought after for his ability to partner with clients in crafting creative solutions and workable policies and procedures to further business strategies and growth within a regulated industry.

Prior to joining Schuyler, Roche & Crisham, Mark held several senior legal positions with UBS AG, Wealth Management Americas, Legal & Compliance US, most recently as Counsel to UBS's Private Wealth Management business group. Mark also served at UBS in such capacities as Division Counsel, UBS Wealth Management Advisor Group US, and Head, Central Legal Wealth Management Advisor Group US. In these roles, Mark was a respected advisor and counsel to senior business partners, branch office management and financial advisors throughout the organization on legal, compliance, and risk management matters. As a member of the Policy Review Committee while at UBS, Mark participated in the review, design, and implementation of compliance policies for UBS Wealth Management Americas.



CONTACT INFO

DIRECT 312 565.8453

FAX 312 565.8300

E-MAIL mcarberry@SRCattorneys.com

PRACTICE AREAS

Securities and Commodities Litigation

Commercial and Employment Litigation

Mark's early legal career in private practice included all aspects of federal and state corporate, securities and commodities law, focusing on representation and counseling of registered investment advisers, broker-dealers, futures commission merchants, investment companies and other financial services entities nationwide. This experience included civil proceedings in arbitration forums and federal court, conducting internal investigations and defending regulatory and enforcement matters initiated by the SEC, CFTC, DOJ, NASD, NYSE, CME, CBOT, and other regulators, exchanges, and self-regulatory bodies.

A keynote speaker and panelist at numerous national and regional legal and compliance/financial services industry conferences, Mark combines extensive in-house and outside legal counsel experience with a wide range of financial services expertise (he was also FINRA Series 7 licensed at UBS). His solution-oriented advice and counsel, driven in particular by his substantial in-house experience at an international, diversified financial services company, provides great benefit to Schuyler, Roche & Crisham's rapidly growing financial services' practice.

EXPERIENCE

Schuyler, Roche & Crisham, P.C.
Chicago, Illinois

Partner
2010 to Present

UBS AG
Wealth Management Americas
Legal & Compliance US

*Executive Director, Counsel to UBS Private
Wealth Management*
2009-2010

*Head, Central Legal Wealth Management
Advisor Group*
2008-2009

Division Counsel
2000-2007

Neal, Gerber & Eisenberg LLP
Chicago, IL

Partner
1990-2000

Associate
1987-1989

Skadden, Arps, Slate, Meagher & Flom LLP
Chicago, IL

Associate
1986-1987

Friedman & Koven
Chicago, IL

Associate
1983-1986

Law Clerk to The Honorable Luther M.
Swygert United States Court of Appeals for
the Seventh Circuit

August 1982 – August 1983

**SELECTED SPEAKING ENGAGEMENTS
AND ACTIVITIES**

“Foreign Corrupt Practices Act & International Anti-Bribery Laws,” National Society of Compliance Professionals, National Meeting, November 1-3, 2010 (Baltimore MD)

“Broker-Dealers: Detecting and Preventing Fraud,” National Society of Compliance Professionals, Midwest Regional Meeting, April 12, 2010 (Chicago, IL)

“Primer on Complex Financial Instruments,” National Society of Compliance Professionals, National Meeting, October 5-7, 2009 (Philadelphia, PA)

“Ten Ways to Leverage Internal Investigations,” Association of Corporate Counsel America, June 24, 2009 (Chicago, IL)

“Privacy Considerations: Regulation SP Amendments,” National Society of Compliance Professionals, Midwest Regional Meeting, April 20, 2009 (Chicago, IL)

“How to be an Effective CCO,” National Society of Compliance Professionals, National Meeting, October 20-22, 2008 (Philadelphia, PA)

“Legal Ethics & Personal Liability of Corporate Counsel,” The Directors Roundtable, May 13, 2008 (Chicago, IL)

“Marketing to Seniors in the 21st Century,” National Society of Compliance Professionals, Midwest Regional Meeting, April 28, 2008 (Chicago, IL)

“Protecting the CCO from Regulatory and Civil Liability,” National Society of Compliance Professionals, National Meeting, October 17-19, 2007 (Washington, D.C.)

“Marketing Mutual Funds Safely,” National Society of Compliance Professionals, National Meeting, October 24-26, 2005 (Alexandria, VA)

Member, American Bar Association Ad Hoc Task Force Committee on the NASD’s Proposed Rules Relating to Investigations and Disciplinary Proceedings, 1997

**EDUCATION AND
DISTINCTIONS**

J.D., Valparaiso University School of Law, 1982

- *Note Editor, Valparaiso University Law Review*
- *Member, National Moot Court Team*
- *Vaughn Trial Advocacy Award Recipient (1982)*

B.A., University of Notre Dame, 1979

FINRA Series 7 Licensed

BAR AND COURT ADMISSIONS

State of Illinois

United States District Court, N.D. Ill.

United States Court of Appeals for the Seventh Circuit

REPRESENTATIVE ENGAGEMENTS

Representing broker-dealer in regulatory and civil proceedings, including in appeal to United States Court of Appeals for the Seventh Circuit and petition for writ of certiorari relating to \$6.5 million judgment entered following jury trial involving claims under section 20(a) of Securities Exchange Act (*Harrison v. Dean Witter Reynolds Inc.*, 79 F.3d 609 (7th Cir.), cert. denied, 519 U.S. 825 (1996))

Representing futures commission merchants in regulatory, CFTC reparations and enforcement proceedings, and federal court actions, including jury trial involving disputed trading in CME S & P 500 futures contracts

Representing land-grant university as claimant in arbitration proceeding; university alleged losses in excess of \$10 million by virtue of investment manager's unauthorized investment of endowment funds in a variety of derivative financial products

PROFESSIONAL MEMBERSHIP

American Bar Association

Securities Industry and Financial Markets Association

- *Compliance & Legal Division*

National Society of Compliance Professionals

CIVIC AFFILIATIONS

Member, Village of Lake Bluff Plan Commission, 2002-2007