**Enforcement and Examinations of the Federal Securities Laws**

October 3, 2025

2:00 – 3:00 pm ET

**Kenneth C. Fang** (Panelist)

Kenneth Fang is the Associate General Counsel at the Investment Company Institute. Previously, he served as vice president and legal counsel at ProShare Advisors LLC and worked in the investment management practice groups at Goodwin Procter LLP and Morrison & Foerster LLP. Early in his career, Ken held various positions in the SEC’s Division of Investment Management, including as senior counsel in the Office of Chief Counsel.

Ken earned his BS from the University of Michigan, his JD from the University of Maryland Francis King Carey School of Law and his LLM from the Georgetown University Law Center.

Ken is a member of the District of Columbia bar and the Maryland bar.

**James C. Dolan** (Panelist)

Jim Dolan is the Chief Compliance Officer (CCO), Regulatory Counsel, and Chief Information Security Officer (CISO) for LeveL Markets, LLC, in Boston. LeveL Markets was formed through the merger of Luminex Trading & Analytics LLC and eBX LLC in 2022 and operates the Luminex and LeveL Alternative Trading Systems (ATSs). LeveL Markets is owned by several large financial services companies, including Fidelity, Bank of America, Nasdaq, and other leading buyside and sellside financial services firms. Prior to joining LeveL Markets in 2015 as CCO, CISO and Chief Legal Officer, Jim was a VP of Compliance for Fidelity. Prior to Fidelity, Jim spent nearly twenty years as a stock market regulator with NASD (now FINRA), investigating insider trading, fraud and market manipulation, among other responsibilities. Most notably, Jim was a lead investigator on the fraud and manipulation investigations of Stratton Oakmont and Jordan Belfort, helping to bring down the “Wolf of Wall Street.”

Jim is a graduate of The Pennsylvania State University and of the Columbus School of Law at The Catholic University of America in Washington, DC. He is registered with FINRA as a General Securities Representative and Principal, as an Operations Professional, and as a Compliance Officer.

Jim is a member of the Maryland bar and is registered in Massachusetts as In-House Counsel.

**Fiona R. Moran** (Panelist)

Fiona Moran is a partner at Davis Polk & Wardwell LLP focusing on government investigations and enforcement actions, internal investigations and compliance advice. Fiona’s practice focuses on highly sensitive government investigations and enforcement actions. She also represents clients in connection with confidential internal investigations and advises companies on corporate governance and compliance matters, including the design of strategies, policies and procedures to mitigate risk.

Her matters have involved allegations of securities fraud, insider trading, foreign corrupt practices, money laundering, antitrust and other financial crimes. Her clients have included major financial institutions, regulated entities, cryptocurrency developers, public companies, senior executives and former government officials. Fiona actively advises a number of entities in the digital asset space in connection with various government investigations.

Fiona earned her BS from the University of Richmond and her JD from the University of Virginia School of Law. Fiona is recognized by *Chambers FinTech* in crypto-asset disputes and by *Benchmark Litigation* as a District of Columbia Future Star. The*National Law Journal* named Fiona one of its “D.C. Rising Stars” for 2021.

Fiona is a member of the District of Columbia bar, the New York bar and the Commonwealth of Virginia bar.

**Matthew I. Haddadin (Moderator)**

Matthew Haddadin is Counsel at Davis Polk and Wardwell LLP. He counsels investment managers and their private funds on a broad range of compliance, regulatory, transactional and enforcement-related matters.  He has significant experience with the federal securities laws applicable to investment advisers and private funds.

Matthew counsels investment managers in registering with the SEC as investment advisers or filing as exempt reporting advisers. He routinely advises clients on the implementation and ongoing review of compliance programs – in particular, fiduciary duties, marketing rule, custody rule, pay-to-play rule and electronic communications. He also represents investment advisers under examination by the SEC’s Division of Examinations and under investigation by the SEC’s Division of Enforcement.

Matthew earned his BS in Finance from the Florida State University and his JD from the University of Virginia School of Law.

Matthew is a member of the New York bar and District of Columbia bar.

**Julia Miles (Student Panelist)**

                             Julia Miles is a 3L at Columbus School of Law at The Catholic University of America, pursuing a certificate in Securities Law. She serves as Chief Recruitment Officer for the Moot Court Association and competed on the Kaufman Securities Team. Her legal experience includes externships encompassing litigation, corporate transactions, securities regulation, and international law. Most recently, she joined the U.S. Securities and Exchange Commission as an intern, where she assists attorneys in enforcement of securities law violations.