



Alvin Li

Associate

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Alvin Li is an Associate in the firm's Litigation department.

Representative Matters

Representation of financial guarantor in action against sponsor and originator of mortgage-backed securities.

Prosecuted claims by monoline insurers against sponsors of residential mortgage-backed securities.

Representing multiple investment firms in connection with legacy RMBS.

Represented a global pharmaceutical company in putative class action litigation alleging consumer protection and related common-law claims, resulting in summary judgment in favor of client.

Represented court-appointed Examiner in chapter 11 cases of FTX Trading Ltd., including assisting him with various investigations summarized in two publicly filed reports.

Pro Bono

Representing disabled students and their parents in a class action lawsuit against New York City Department of Education connected to loss of learning during COVID-19 pandemic.

Admissions

- U.S. District Court, Southern and Eastern Districts of New York
- New York

Education

- Harvard Law School (J.D., 2016)
 - Senior Article Editor, *Harvard Law & Policy Review*
- University of California, Berkeley (B.A., 2013)

Publications

August 19, 2020

Commercial Division Sees Uptick, Followed by Flattening in Case Filings

New York Law Journal

Blog Posts: Securities Enforcement & Litigation Insider

July 10, 2024

Supreme Court Decision in *SEC v. Jarkesy* Limits the SEC's Ability to Seek Civil Penalties

On June 26, 2024, the Supreme Court issued a decision in *SEC v. Jarkesy*, holding that “[w]hen the SEC seeks civil penalties against a defendant for securities fraud, the Seventh Amendment entitles the defendant to a jury trial.” [1]...

October 26, 2023

SEC Division of Examinations Announces 2024 Priorities

On Monday, October 16, the Securities and Exchange Commission’s (“SEC”) Division of Examinations (“Division”) “released its 2024 examination priorities to inform investors and registrants of the key risks, examination topics, and priorities that the Division plans to focus on...”

April 13, 2023

SEC Proposed New Rule and Extensive Updates to Existing Rules on Cybersecurity

On March 15, 2023, the Securities and Exchange Commission (“SEC”) proposed a new rule concerning cybersecurity risk management as well as updates to Regulations S-P and SCI (Systems Compliance Integrity). [1] With these proposals, the SEC aims to update...

March 30, 2022

SEC Proposes New Rule on Climate Related Disclosures

Recently, the Securities and Exchange Commission (“SEC”) proposed a new rule concerning the disclosure of “certain climate-related information in their registration statements and annual reports” as well as “certain climate-related financial metrics . . . in a registrant’s audited financial statements.”...

March 8, 2022

The SEC Begins Regulation of Cryptocurrency Interest Account Offerings

On June 29, 2021, a major cryptocurrency exchange (the “Crypto Exchange”) announced a new program called “Lend” in which it proposed offering customers a 4% interest rate on cryptocurrency tied to USD. [1] But on September 7, 2021, the...

February 3, 2022

A Brief Overview of the SEC's Guidance on Cryptocurrencies in the Context of the Commission's Enforcement Action Against Ripple Labs

A key question for any company considering the issuance of cryptocurrency is whether that digital asset will be treated by regulators as a security, like BP stock, or a commodity, like Bitcoin. [i] In 2019, the Securities and Exchange...