

## Charles D. Riely

**Partner**

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**Areas of Focus**

Anti-Corruption and FCPA

Fintech and Crypto Assets

Investigations, Compliance,  
and Defense

Hedge, Investment, and  
Private Equity Funds

Investor and Securities  
Litigation



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### Overview

**Charles Riely brings to his clients more than a decade of senior government experience inside the SEC and an equally substantial private practice built on the results that experience makes possible. He has guided public companies, investment advisers, broker-dealers, and individuals through high-stakes government investigations, and he works with clients proactively—conducting internal investigations, building compliance programs designed to reduce risk, and representing financial institutions facing AML compliance failures and government scrutiny.**

Before entering private practice, Charles served as an Assistant Regional Director in the SEC’s Enforcement Division, including in the Market Abuse Unit—one of the agency’s most active and high-profile groups—where he supervised and led complex insider trading and market manipulation investigations. He now regularly represents clients before the SEC, the DOJ, the New York Attorney General, FINRA, and other state and federal criminal and regulatory authorities.

In private practice, Charles has successfully resolved high-stakes matters for clients across the financial sector. He has obtained termination notices—closing investigations without charges—in matters involving public companies, investment advisers, and hedge funds. Those results span the full range of issues the SEC most actively pursues: insider trading, portfolio valuation, trading practices, financial reporting, disclosure violations, and digital asset transactions. In one notable matter, Charles took over an SEC investigation after the staff had filed a subpoena enforcement action against the client, and through his advocacy, secured a termination notice five months later.

Charles's work has earned recognition from both sides of the enforcement bar. While at the SEC, he received the Ferdinand Pecora Award that recognizes SEC lawyers who have displayed exceptional tenacity, creativity and efficiency in difficult circumstances. In private practice, he has been named to Securities Docket's Enforcement Elite, which highlights the best SEC enforcement defense counsel in the industry.

Clients describe the experience of working with Charles in terms that reflect what matters most in a high-stakes investigation. They value his strong commercial vision and sophistication, his "exceptional empathy, presence, poise and resilience," and the "dedication and loyalty" he uses to approach his cases.



Having seen these matters from both sides, I know that the government does not always have the full picture. My job is to make sure it does — to present my client's business, its decision-making, and the realities it was operating under in a way that is clear, credible, and complete.”

## **Areas of Focus**

- Anti-Corruption and FCPA
- Fintech and Crypto Assets
- Investigations, Compliance, and Defense
- Hedge, Investment, and Private Equity Funds
- Investor and Securities Litigation
- COVID-19
- Markets and Trading
- Public Company Advisory Group
- Middle East

## **Representative Matters**

### **SEC Investigations and Enforcement**

- Represented financial institution obtain termination letter from SEC five months after joining matter as new counsel even though SEC had filed subpoena enforcement action against client prior to our involvement.
- Represented senior officer of public company and obtained termination letter after SEC threatened litigation and sent Wells notice.
- Assisted Fortune 500 public company resolve SEC charges on pre-Wells basis in way that minimized impact on organization and did not include charges against individuals.

- Obtained termination letter in SEC investigation involving financial institution after doing presentation providing background on client's business and the relevant conduct.
- Obtained termination letter in SEC investigation in insider trading case involving hedge fund after doing presentation on client's investment approach and strategy.
- Represented public companies in SEC investigations concerning disclosure, internal controls, and cybersecurity.
- Represented hedge funds in a variety of SEC investigations involving valuation, insider trading, and other issues.
- Represented officers in SEC investigations involving alleged accounting fraud and other disclosure failures.

## **Credentials**

### **Admissions**

- New York, 2002

### **Education**

- University of Michigan Law School, JD, 2001
- Yale University, BA, 1998

### **Court Admissions**

- US District Court, Eastern District of New York
- US District Court, Southern District of New York

### **Clerkships**

- Hon. Frank Maas, US District Court, Southern District of New York, 2001-2002

## **Service / Recognition**

### **Awards**

- Securities Docket, Enforcement Elite, 2024
- *Legal 500*, Corporate Investigations and White-Collar Criminal Defense, 2020-2021
- Ferdinand Pecora Award
- Member of Team that received Arthur F. Mathews Award