



Timothy C. Foley

Partner

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OVERVIEW

Tim Foley is a partner in the firm's Asset Management and Investment Funds practice. Tim provides financial institutions with practical, business-oriented advice regarding US broker-dealer, trading, and marketplace regulations. Clients have noted that he "is excellent at providing solution-oriented advice and navigating complex issues," describing him as "a trusted and reliable adviser."

Tim's practice includes advising global and US financial institutions, particularly US-registered broker-dealers, in regulatory compliance and enforcement matters involving the SEC, FINRA, CFTC, self-regulatory organizations (SRO), and state and foreign regulatory agencies.

PROFESSIONAL BACKGROUND

Tim has extensive experience advising multinational financial institutions, investment banks, wealth managers, depository institutions, custodians and clearing agencies, and fund complexes and sponsors (including alternative investment platforms) in matters involving Exchange Act licensing and regulatory requirements, including issues involving broker-dealer formation, individual registration, supervision, compensation, sales practices, institutional trading, underwriting, research, advertising, and communications. Tim has extensive experience advising clients in connection with the cross-border application of broker-dealer licensing and regulatory requirements, as well as regulatory change management, including regulatory approvals related to acquisitions and expansions of operations, as well as complex personnel matters. Tim also advises financial institutions regarding the intersection of broker-dealer requirements with digital assets and other areas of regulation, including investment adviser and commodity futures laws.

Tim has deep knowledge of broker-dealer operations of institutional trading, retail sales, fund distribution and underwriting, investment banking, mergers and acquisition advisory work, and platforms for access to alternative investment strategies.

Tim has also handled an extensive variety of regulatory inquiries and related investigations, in particular FINRA enforcement matters involving issues such as market manipulation, fair pricing and mark-up/mark-down, trade reporting, short sales, distribution restricted periods and marketplace structure rules. He has conducted large-scale retail sales practice investigations for retail broker-dealers involving complex products suitability. In these

matters, Tim offers clients practical, risk-based assessments of applicable regulatory requirements and directly assists client teams in deciphering complex order, execution and routing data and other records.

Tim previously practiced in the financial regulation group of a global law firm, having spent his entire career practicing in international law firms serving financial institution clients. Tim has authored, contributed to, and been quoted in a number of publications and media outlets, including *American Banker*, *Bloomberg Law*, *Law360* and *InvestmentNews*.

ACHIEVEMENTS

- Ranked by *Chambers USA* for Financial Services Regulation: Broker-Dealer (Compliance), 2026

PROFESSIONAL / CIVIC ACTIVITIES

- Maryland Bar Association
- Pro bono assistance to refugees seeking asylum through the Asylum Office of US Citizenship and Immigration Services, as well as the Executive Office of Immigration Review within the US Department of Homeland Security

EDUCATION

- J.D., George Washington University Law School, 2007
- B.A., University of Maryland, 2003

ADMISSIONS

- Bar of District of Columbia
- Bar of Maryland

THOUGHT LEADERSHIP POWERED BY HUB

- 1 October 2026, United States: SEC Moves to Open Private Markets to Retail Investors
- 22 September 2026, United States: SEC and CFTC Open Door to Tokenized Markets After Clarity Fails to Advance
- 16 September 2026, United States: SEC Proposes Modernization Overhaul of Transfer Agent Rules

NEWS & EVENTS

- 4 November 2026, Asset Management and Investment Funds Conference Series—Boston
- 17 August 2026, K&L Gates Adds Broker-Dealer Regulatory Partner in Washington, DC

MEDIA MENTIONS

- 18 August 2026, *Law360* | K&L Gates Hires Linklaters Financial Counsel In DC

AREAS OF FOCUS

- Asset Management and Investment Funds