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**David Levine**  
**Partner**

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**David Levine** has over 30 years of experience handling significant litigation and regulatory matters in the financial services industry, having served in senior roles at the U.S. Securities and Exchange Commission (SEC), a global investment bank, and a NYSE-listed alternative asset management firm. In addition, Mr. Levine has extensive experience advising board of directors, special committees, and executives on corporate governance, compliance, monitorships, and risk management.

**Education**

- Hofstra University School of Law, J.D. (Valedictorian)  
Editor, *Hofstra Law Review*
- SUNY Albany, B.A.

**Bar Admissions**

- New York

Mr. Levine served as the Chief Legal Officer of Sculptor Capital Management, Inc. (formerly known as Och-Ziff Capital Management, Inc.), an alternative asset management firm with a portfolio of \$30+ billion in assets, from 2017 until 2024. In this role, he managed a global legal department and oversaw all aspects of the company's legal affairs, including litigation, regulatory relations, and transaction advisory. Prior to joining Sculptor, Mr. Levine spent 15 years at Deutsche Bank AG, where he served as Global Head of Litigation and Regulatory Enforcement. In this role, he managed the bank's most significant matters, including DOJ matters centered on mortgage-backed securities, and multi-agency matters related to LIBOR, FX and other benchmarks. From 1993 through 2001, Mr. Levine worked at the SEC in both New York and Washington, DC. At the SEC, Mr. Levine started as an enforcement attorney, rose to Senior Adviser to the Director of Enforcement, and completed his service as the agency's Chief of Staff.

Mr. Levine has published several law review articles on securities law topics, including on class action reforms, internet fraud, and secondary liability. He is also a regular speaker at industry conferences, including PLI.

**Awards and Distinctions**

- SEC Chairman's Awards for Excellence for Regulation FD and Auditor Independence.
- SEC Law and Policy Award for Litigation Reform.
- Urban Justice Center's Community Justice Award, 2015.
- Directors' Roundtable Distinguished General Counsel Award, 2019.

### **Professional Affiliations**

- Member of the Securities Industry and Financial Markets Association's (SIFMA) Compliance and Legal Society Executive Committee and Legal Subcommittee, 2011-2017.
- Member of the Financial Industry Regulatory Authority's (FINRA) Membership Committee (2003-2005), including as Chair in 2005, which committee advises FINRA on all proposed rulemaking for broker-dealers.
- Appointed by FINRA's Board of Governors to the National Adjudicatory Council in 2006 and served as Vice Chairman (2008) and Chairman (2009). The NAC is the appellate court for FINRA enforcement actions. Continues to serve on NAC appellate panels.
- Member of FINRA's Statutory Disqualification Subcommittee, 2010 - 2016.