

Patrick Christensen

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EXPERIENCE

FIDELITY BROKERAGE SERVICES LLC (via UPDATE LEGAL, Inc.)

Oct. 2019 - Feb. 2023

Contract Attorney - Securities Defense Arbitration / AML Compliance Support

Raleigh, NC

- Handle Personal Investing (“PI”) and Workplace Investing (“WI”) complaints & claims from matter intake through case disposition, including drafting answers, briefs, motions to dismiss, motions to compel discovery, and discovery requests and responses, among other duties; Conduct party interviews and prepare witnesses for testimony, and conduct extensive legal research. Forums include FINRA Arbitration, Federal and Local jurisdictions and Small Claims Court.
- Assisted in the creation of the Firm’s New York State Part 504 Transaction Monitoring and Certification process including: rule interpretation, systems testing & validation, stakeholder sub-certification and yearly audit testing of the implemented processes.
- Perform international cross-border assessment of the Firm’s ability to establish relationships and provide cryptocurrency services in foreign jurisdictions. Assessment includes an analysis of numerous potential international markets and relevant local laws and regulations, as well as distillation into an easy to consume guide for service providers to use as a resource.
- Led project to assess the status of the Legal Operations Subpoena intake and response process, including weekly review of a sample of subpoenas, documents requested/produced and overall timelines from intake to completion.

BRESSLER AMERY & ROSS, P.C.

June 2015 - July 2019

Attorney - Securities Defense Litigation & Arbitration

New York, NY

- Commercial litigation and arbitration practice with focus on securities defense.
- Responsibilities include drafting answers, briefs, motions to dismiss, motions to compel discovery, motions to compel arbitration, and discovery requests and responses; interviewing and preparing witnesses; conducting legal research; engaging in substantial client contact; and working closely with expert consultants.
- Extensive experience managing all aspects of discovery, including running document reviews, working with in-house counsel and vendors on document productions, and attending discovery conferences.
- Experience handling Financial Advisor expungements of disclosures on their CRD reports, including drafting petitions, arguing before a panel, examining and cross examining witnesses, and drafting confirmation papers.
- Experience with Anti-Money Laundering rules and regulations, including participating in cases against clients brought by regulators, assisting clients with responses to regulatory inquiries and drafting alerts for publication to clients regarding recent rule changes and interpretations.

JP MORGAN CHASE

April 2013 - May 2015

Assistant Vice President, Sr. Compliance Officer - AML Investigations

Brooklyn, NY

- Conducted start to finish examinations of customer activity on behalf of JPMC, from alert stage, investigation, analysis/determination, SAR filing Y/N, closure recommendation to possible escalation.
- Trained and supported new hires in day-to-day functions, firm systems/processes, as well as identification and investigation of various typologies.
- Identified various money-laundering typologies, including but not limited to Terrorist Financing, Chinese Currency Restriction Evasion, Structuring, Pass-Through Activity, High Risk Auto Exports, Offshore Gambling and Hawalas.
- Performed account analysis to determine, source, use and ultimate purpose of funds passing through JPMC entities.
- Investigated both customer DDA and Brokerage accounts.

ST. JOHN’S SCHOOL OF LAW SECURITIES ARBITRATION CLINIC

Sept. 2014 - Dec. 2014

Student Intern

Queens, NY

- Performed factual and legal investigations into client claims.
- Produced case assessment memoranda and worked on Statements of Claim to be filed with FINRA.
- Organized and conducted potential customer intake interviews and information gathering.
- Participated in negotiations with adversarial counsel in anticipation of settlement discussions.
- Participated in a start to finish assignment, preparation and presentation of a Mock Arbitration in front of industry experts at FINRA Offices.

KNIGHT CAPITAL AMERICAS**Aug. 2011 - Feb. 2013****Assistant Vice President, Regulatory Reporting & Operations Control Manager****Jersey City, NJ**

- Managed Electronic Bluesheet (EBS) Regulatory Reporting for Clearing Broker/Dealer, including creation and submission of EBS reports to the SEC, FINRA, and NYSE.
- Worked to conceptualize and create automated report creation/submission for EBS requests.
- Assisted in creation and implementation of LTID and Options reporting capabilities within the EBS functionality.
- Managed bi-monthly Short Interest reporting to FINRA, reconciled/reported over 100MM shares traded.
- Responded to SEC, FINRA, and NYSE inquiries regarding trade activity flow through the clearing firm from affiliated Broker/Dealers.
- Consolidated daily operations control functions into a single navigable daily report for distribution to various groups and supervisors within the Firm.
- Performed monthly reconciliation and reporting of PINS settlements through DTC.
- Performed monthly account balance confirmations for the Firm's proprietary cash and stock accounts.
- Managed and trained staff to become proficient in necessary tasks to support Ops Control activities.

KNIGHT EQUITY MARKETS**Feb. 2007 - Aug. 2011****Associate, Anti-Money Laundering and Compliance Analyst****Jersey City, NJ**

- Contributed to the investigation, creation and submission of Suspicious Activity Reports (SARs).
- Created and maintained yearly SAR Trend Analysis, tracking date, security, funds, exchange, shares, ADV, etc.
- Performed due diligence on potential clients for prospective Private Placement deals.
- Performed supervisory functions in completing various Written Supervisory Procedures (WSPs).
- Contributed to monitoring industry rules/regulations and assisted in the creation of WSPs for the Firm.
- Organized, managed, and implemented the Firm's mandatory Continuing Education program including assignment and deadline tracking for over 900 employees and over 4,000 assigned courses.
- Organized and conducted monthly training for new hires of the firm. Training included Compliance rules and regulations as well as an overview of the firm's AML policies and procedures.
- Created and maintained a database that organized Cross-Border opinions from Legal and Outside Council to assist in feasibility and cost/benefit analyses of doing business in foreign jurisdictions.

MERRILL LYNCH**July 2005 - Feb. 2007****Consultant, Legal Department****New York, NY**

- Organized and tracked customer complaints, analyzed data for presentations to management.

EDUCATION

BUCKNELL UNIVERSITY**Lewisburg, PA**

Bachelor of Arts in Political Science, Minor in History

- Varsity Lacrosse - 2001-2005
- Patriot League All-Conference Honorable Mention (2004); Second Team (2005)
- Patriot League Academic All-Conference (2003, 2004, 2005)

ST. JOHN'S UNIVERSITY**Queens, NY**

School of Law, Juris Doctorate

- Part Time Evening Program, Class Rank #4
- Dean's List: F 2011, S 2012, S 2013, F 2013, S 2014, F 2014
- Dean's Award for Excellence: F 2011 - Legal Analysis and Writing; S 2014 - Social Media & the Law
- American Bankruptcy Institute Law Review
 - Staff Member F 2013 to S 2015
 - Articles and Notes Editor F 2014 to S 2015
 - Publications - *Fairness Over Deference: The Shifting Landscape of Creditors Rights to Claims and Debtor Protection Regarding the Issuance of Form 1099-C*, 6 ST. JOHN'S BANKR. RESEARCH LIBR. NO. 7 (2014).

MEMBERSHIPS, SOFTWARE, INTERESTS

- Admitted to the State Bar of North Carolina, New York and New Jersey
- Systems - Lexis-Nexis, Westlaw, Microsoft Word, Excel, Power Point, Everlaw, Relativity
- Interests: Reading, Golf, Cooking, Working out