

Russell Johnston

Partner
*Securities Enforcement and Regulation /
Government Matters*

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Russell Johnston, a partner in King & Spalding's Government Matters practice, focuses on internal investigations, regulatory inquiries, enforcement actions, and compliance counseling. As both a former Senior Counsel in FINRA's Department of Enforcement and in private practice representing financial institutions and individuals, he's worked extensively on matters addressing anti-money laundering, anti-corruption, economic sanctions, securities fraud, sales practice supervision, market regulation, and the use of crowdfunding and digital assets.

Russell also advises multinational corporations, across a wide range of sectors, on complex financial crime compliance matters. In this field, he's led worldwide internal investigations, assisted clients in cooperating with regulatory inquiries, conducted due diligence prior to M&A transactions, and prepared corporate officers for congressional hearings. Russell has also provided financial crime compliance training, best practices, and policy formation to both clients and fellow attorneys, and assisted in the UK Parliament Select Committee's creation of the Bribery Act.

While at FINRA, Russell served as the lead attorney on some of the organization's most complex matters, including historic enforcement actions regarding anti-money laundering violations, sales practice supervision issues, and the most significant penalties and restitution programs emanating from the Puerto Rico debt crisis. Russell also served as counsel on several of FINRA's earliest fintech-related matters, including the first enforcement action addressing the use of distributed ledger technology, and served as the first and primary counsel to the funding portal examination program. In addition, he served as counsel on numerous matters addressing member applications, corporate finance issues, and advertising regulations for broker-dealers of all shape and size.

Credentials

EDUCATION

J.D., Northwestern University
B.B.A., Villanova University

ADMISSIONS

U.S. District Court for the Southern District of New York
Illinois
New York

Insights

CLIENT ALERT

April 8, 2021

SEC and FINRA Emphasize Cybersecurity, AML, and Reg BI as Key Areas of Focus for Broker-Dealer Examinations in 2021

December 23, 2020

FINRA Seeks Feedback on Pandemic-Related Impacts and Lessons

FEATURE

January 21, 2021

General Counsel Internal Investigations Decision Tree for the Financial Services Industry

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Events

SPEAKING ENGAGEMENT

March 20, 2019

Richard Margolies, Michael Watling, Russell Johnston, Mirella deRose to Speak at NYSBA Securities Regulation Committee Meeting

News

IN THE NEWS

March 10, 2020 • Source: RIA Intel

Russell Johnston discusses job satisfaction for financial advisors

November 19, 2018 • Source: Bloomberg Big Law Business, Securities Docket, The Deal, New York Law Journal, Global Investigations Review, The American Lawyer, CDR and Fund Intelligence

Mirella deRose, Russell Johnston, Richard Margolies and Michael Watling join as partners in the Securities Enforcement and Regulation team of the Government Matters practice in the New York office

PRESS RELEASE

November 19, 2018

Four Partners Join King & Spalding with Regulatory Expertise from FINRA

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