Andrew Dean

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Securities Enforcement and Regulation; Asset Management Examinations and Enforcement; White Collar Defense and Investigations



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Education

J.D., Columbia Law School, 2001

B.A., Fordham University, 1998 (*summa cum laude*)

Bar Admissions

New York

Andrew Dean, former co-chief of the SEC Division of Enforcement's Asset Management Unit (AMU), draws on more than 12 years at the agency in representing asset managers, private funds, public companies, financial institutions and other SEC registrants in enforcement investigations, internal investigations, related civil litigation, regulatory and compliance advisory work.

Having led some of the SEC's largest and most consequential asset management enforcement actions, Mr. Dean brings firsthand insight into how the Enforcement Division identifies, investigates and charges cases. His clients span across the breadth of the asset management industry and include private equity funds, hedge funds, venture capital funds, mutual funds, ETFs, business development companies and separately managed accounts, as well as the valuation agents, administrators, audit firms and boards that serve them. He has successfully counseled clients on the full spectrum of SEC-related asset management representations, including enforcement investigations, examinations, compliance and remediation, as well as in resolving matters with regulators.

Mr. Dean joined the SEC in 2012 and previously served as a senior attorney and assistant regional director of the AMU before assuming the co-chief role. As co-chief, he led attorneys and industry experts across 11 offices in bringing high-profile actions involving a billion-dollar valuation fraud, a major market manipulation scheme, multiple cherry-picking frauds, conflicts of interest, misleading fees and expenses, Regulation Best Interest violations, "AI washing," misleading marketing, the custody rule and prohibited joint transactions. He also led an industry-wide fraud investigation involving complex cross-border transactions that resulted in settlements with 15 financial institutions, and handled matters involving asset managers, broker-dealers, issuers, investment banks and other market participants. In addition, he advised on rulemakings and worked closely with the SEC's Division of Examinations, the Department of Justice, the FBI, the Commodity Futures Trading Commission, state attorneys general and foreign regulators.

In recognition of his work, Mr. Dean has been recommended for Securities Litigation: Defense by *The Legal 500* and named one of *Lawdragon*'s 500 Global Leaders in Crisis Management, 500 Leading Litigators in America and 500 Leading Global Investigations Lawyers. In addition, in 2026 he received a Burton Award for Distinguished Legal Writing.

Mr. Dean regularly speaks on and moderates panel discussions organized by major asset management industry organizations, including the Investment Company Institute.