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**EDUCATION**

The Catholic University of America  
Columbus School of Law

JD

Georgetown University Law Center

LLM

The Catholic University of America

BA

**ADMISSIONS**

District of Columbia

Massachusetts

Rhode Island

## Lee Antone

### Principal

Lee Antone is a principal and a member of the firm's [Retirement Services](#) and Fiduciary Practice. He counsels financial institutions, investment advisers, plan sponsors, and other service providers on a wide range of matters, including plan governance, administration, and investment advisory matters, with a particular focus on regulatory compliance.

As a former Chief Legal & Risk Officer of an SEC registered investment advisor with over \$250 billion under management, Lee has a deep appreciation for the myriad of challenges that advisors, broker-dealers, and other financial institutions face when implementing legal advice. Coupled with his prior experience with rulemaking processes as an SEC attorney and SRO experience with FINRA's office of General Counsel, a defining aspect of Lee's counsel is his ability to understand what his clients are trying to solve for in order to deliver guidance that allows them to establish compliance and to quantify and make informed risk management decisions, all in a cost-effective fashion.

Lee's practice centers on leading complex agreement negotiations, establishment of fit for purpose enterprise risk management programs, advisory integration matters, provision of advisory services in the retirement space, investment advisory compliance programs including CCO responsibilities, regulatory examinations and investigations, and public company general counsel responsibilities.