

## Nicholas Wendland

### Of Counsel

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Nicholas Wendland counsels clients on global regulations for securities, derivatives, and other financial products. His practice includes advising on trading documentation and regulatory matters as well as representing clients involved in investigation and enforcement matters brought by financial regulators.

Nicholas provides practical advice to clients to help them achieve their business goals while navigating the regulatory aspects of commodities, securities, and derivatives transactions, including understanding applicable CFTC and SEC rules and regulations and the rules of self-regulatory organizations. Nicholas advises buy- and sell-side clients on a wide range of asset classes and agreements, including a variety of derivatives transactions utilizing ISDA documentation and related transaction confirmations for interest rate swaps, options, forwards, and foreign exchange products as well as negotiating repurchase agreements, securities-forward transaction agreements, security lending agreements, Base NAESB agreements, and prime brokerage and clearing agreements.

Additionally, Nicholas assists various market participants with regulatory enforcement actions, exams, and investigations as well as preparation and compliance with new financial rules and regulations.

Prior to joining Foley, Nicholas worked at the New York Stock Exchange (NYSE) and at the Financial Industry Regulatory Authority (FINRA), where he developed trade surveillance systems dedicated to detecting violations of exchange regulations and federal rules, developed written supervisory procedures, and directed investigations of the trading activity of member firms. He utilizes his experience at the NYSE and the FINRA to best support and defend his clients today.

#### Affiliations

- Member, Futures Industry Association
- Member, Chicago Bar Association

## Practice Areas

- [Litigation](#)
- [Securities Enforcement & Litigation](#)

## Education

- Chicago-Kent College of Law (J.D., cum laude, 2007)
- University of St. Thomas (B.A., 2003)

## Admissions

- Illinois
- U.S. District Court for the Northern District of Illinois