



Chris Kirkpatrick

PARTNER

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Chris Kirkpatrick focuses his practice on corporate and securities matters, with an emphasis on representing clients concerning federal and state securities laws. He represents investment advisers and unregistered investment companies on a broad range of issues, including formation, federal and state registration, operational issues, regulatory filings, and ongoing compliance with federal and state laws applicable to investment advisers, investment funds, commodity pool operators, and commodity trading advisers. Chris also represents clients in connection with Securities and Exchange Commission investigations and regulatory examinations.

Prior to joining the firm, Chris was the general counsel and chief compliance officer for an SEC-registered investment adviser with approximately \$2 billion in assets under management and a member of the board of directors of the firm's investment funds. Prior to that, he was a partner at national law firm and represented individuals and entities before the Securities and Exchange Commission, Department of Justice, FINRA, Commodity Futures Trading Commission, National Futures Association, and the Texas State Securities Board. Chris has also conducted internal investigations on behalf of boards of directors and audit committees involving a variety of matters, including the Foreign Corrupt Practices Act (UN Oil-For-Food Programme), derivative suits, stock-option backdating, insider trading, misappropriation of corporate assets, and whistle-blower claims. He started his career with the Enforcement Division of the Securities and Exchange Commission where he served as Branch Chief, investigating and litigating violations of the federal securities laws, including insider trading, financial frauds, Ponzi schemes, market manipulations, and regulatory violations by investment advisers and broker-dealers.

Articles

- Edmundson and Kirkpatrick, Defending Against SEC Emergency Enforcement Actions, Securities Regulation Law Journal (Summer 2002)

All Practice Areas

- Corporate Matters
- Securities



Education

- Georgetown University Law Center (with distinction) (LL.M. Securities Regulation, 1999)
- Southern Methodist University Dedman School of Law (J.D., 1994)
- University of California, Los Angeles (B.A., Political Science 1987)

Admissions

- Texas
- United States District Court for the Northern and Southern Districts of Texas
- United States Court of Appeals for the Fifth Circuit