

Statement of Gary Carleton
Candidate for Steering Committee
Corporation, Finance & Securities Law Community

I am excited about the opportunity to serve on the Steering Committee for this committee. For more than 35 years, I have focused my career on securities regulation. I first served as Senior Counsel in the SEC's Division of Enforcement, before moving to FINRA where, at separate times, I served as a Senior Counsel in the Department of Enforcement and as a Hearing Officer. In 2019, I decided it was finally time to enter private practice, so I opened my own law firm, Carleton Law PLLC, with a focus on securities regulation.

I enjoy working in a collaborative manner with others to provide valuable opportunities for members. Last year, I co-founded a group of DC area solo practitioners who focus on securities regulation. I am also currently a member of the SEC Historical Society's Board of Advisors

For more about me, please feel free to visit my website at www.carletonlaw.net.