

Brent Baker is a shareholder and member of the Government Investigations and SEC Enforcement Defense practice groups. Brent spent over a decade at the SEC and he currently advises global companies, board committees, executives, and registered entities through high-profile and complex criminal and civil cross-border investigations, prosecutions, and civil litigation.



Brent R. Baker

Shareholder | Salt Lake City

Biography

Mr. Baker is a shareholder and member of Parsons' litigation, securities and regulatory enforcement departments. His practice concentrates on SEC enforcement and regulatory defense, private securities litigation, and government/independent investigations. He routinely defends corporate and individual clients in regulatory enforcement investigations and litigation before the U.S. Department of Justice (DOJ), the U.S. Securities and Exchange Commission (SEC), the Public Company Accounting Oversight Board (PCAOB), and other federal and state securities and commerce agencies. Mr. Baker represents broker-dealers, investment advisors, compliance officers, and registered representatives before the SEC and the Financial Industry Regulatory Authority (FINRA). He also handles a variety of corporate internal investigations. His practice routinely involves responding to regulatory and criminal subpoenas, preparing clients for investigative testimony, and responding to SEC "Wells Notices" of projected charges. Many of these disputes were settled on terms favorable to Mr. Baker's clients.

Mr. Baker also has significant experience handling complex private securities litigation in state and federal courts. His private securities litigation practice includes representing clients at the trial court level and at the appellate level. He is a licensed member of the bar in Utah and New York. He has been admitted in many districts and circuits including the 10th and 2nd Circuits.

He regularly advises registered entities regarding general compliance issues and is often engaged to advise clients on investment and financial services matters and to counsel

Contact information

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Capabilities

Government Enforcement, Securities and White-Collar Defense

Securities & Capital Markets

Banking & Financial Services

Securities Litigation

Emerging Companies & Venture Capital

Licensed/Admitted

Utah

New York

U.S. Dist. Court, Dist. of Utah

U.S. Dist. Court, Southern Dist. of New York

U.S. Dist. Court, Eastern Dist. of New York

U.S. Dist. Court, Dist. of Nevada

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PERSPECTIVE

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BEHLE &
LATIMER**

Licensed/Admitted (cont'd)

U.S. Dist. Court, Northern Dist. of Alabama

U.S. Dist. Court, Northern Dist. of Texas

U.S. Dist. Court, Dist. of Maryland

U.S. Dist. Court, Northern Dist. of Florida

U.S. Dist. Court, Southern Dist. of Florida

U.S. Court of Appeals, 2nd Circuit

U.S. Court of Appeals, 10th Circuit

clients during regulatory examinations, on issues ranging from anti-money laundering (AML/BSA) matters to proactive compliance and remediation advice.

In the course of his practice, he routinely represents public and private securities issuers, company officers and directors, investment funds, analysts, and brokers and advisors in connection with SEC and FINRA investigations. Mr. Baker also counsels public companies, funds, and broker-dealers on securities compliance and corporate governance, and complex cryptocurrency issues. Mr. Baker has broad experience representing boards and audit committees and has conducted internal investigations across all business sectors, including nutraceutical/pharmaceutical, financial services, and real estate industries.

Mr. Baker served with the SEC for almost 14 years in various positions of increasing responsibility and left in 2007 as Senior Special Counsel. During his time at the SEC, he prosecuted a wide range of securities violations and served as a Special Assistant United States Attorney for the U.S. Department of Justice.

Mr. Baker has been retained as an expert witness by both the government/prosecution and defense in both civil and criminal cases. In addition, Mr. Baker has also served as in-house counsel for a NASDAQ listed public company and was a shareholder at two major law firms.

Mr. Baker is a member of the Digital Currency and Ledger Defense Coalition.

Experience

U.S. Securities & Exchange Commission v. Alpine Securities Corporation (SDNY)

Defending client against SEC, determining if the SEC has authority to bring enforcement cases for violations of the Bank Secrecy Act/Anti-money laundering provisions, typically left to the primary regulator under the BSA which is FinCEN.

Accomplishments

Professional

Utah Business Magazine Legal Elite: Government (2021), Securities Law (2018-2019), Civil Litigation (2013)

Mountain States Super Lawyers®, Securities Litigation, Criminal Defense: White Collar (2013-2014)

Recipient, SEC Chairman's Award for Excellence (2002)

Judicial Clerk, U.S. District Court for the District of Utah, Honorable Bruce S. Jenkins (1989-1990)

Academic

University of Oregon School of Law (J.D.)

University of Utah (B.A, Speech Communication)

Articles

“Father Knows Best,” American Bar Association, Apr. 12, 2022

“Regulators Provide No Meaningful Relief or Guidance to Financial Institutions Struggling with Bank Secrecy Act Compliance due to the COVID-19 Pandemic,” COVID-19 Response Resources, Apr. 8, 2020

“The SEC’S Division of Enforcement and COVID-19,” COVID-19 Response Resources, Apr. 3, 2020

Presentations

“The High Stakes Risks for Utah Companies Doing Business Overseas,” World Trade Center Utah/Parsons Behle & Latimer, Dec. 3, 2020

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