

SULLIVAN & CROMWELL LLP

Lawyers



David B. Harms

Of Counsel

New York

T. +1-212-558-4000

F. +1-212-558-3588

harmsd@sullcrom.com

David Harms (partner since 1/1/92, of counsel since 1/1/18) advises clients on securities and corporate law matters, including SEC disclosure requirements, corporate governance, capital markets transactions, trading activities and broker-dealer regulation. He was formerly co-head of S&C's General Practice Group, co-coordinator of the Firm's securities finance practice and coordinator of its broker-dealer regulation practice.

Mr. Harms served as co-chairman of the Annual Institute of Securities Regulation, sponsored by the Practising Law Institute, from 2003-2007. Before joining the Firm, Mr. Harms clerked for Judge Edward Weinfeld in the Southern District of New York and served as editor-in-chief of the *NYU Law Review*. He is currently an adjunct professor at NYU Law School, where he teaches professional responsibility.

PRACTICES & CAPABILITIES

Broker-Dealer

Financial Services

Capital Markets

Equity

Debt

Investment Management

Corporate Governance

EDUCATION

**1984, New York University
School of Law, J.D.**

**1978, State University of
New York at Purchase, B.A.**

BAR ADMISSIONS

New York

CLERKSHIPS

**The Honorable Edward
Weinfeld, United States
District Court, Southern
District of New York,
1984-1985**