

# SULLIVAN & CROMWELL LLP

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## Lawyers



### Colin D. Lloyd

Partner

#### New York

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Colin Lloyd is a partner in the Firm's Commodities, Futures and Derivatives and Capital Markets Groups. He focuses on advising clients on a broad range of securities and derivatives regulatory, enforcement, transactional, and legislative matters. His clients include U.S. and non-U.S. broker-dealers, swap dealers, banks, exchanges, electronic trading platforms, clearinghouses, private equity funds, investment managers, sovereigns, and derivatives end users. He regularly represents clients before various federal regulatory agencies, including the Commodity Futures Trading Commission, the U.S. Securities and Exchange Commission, the Financial Industry Regulatory Authority, as well as other federal regulatory agencies and self-regulatory organizations.

Colin is recognized as a leader in his practice by *Chambers USA*, *IFLR1000* and *The Legal 500 United States*. He has also been recognized as a "Cryptocurrency, Blockchain, and FinTech Trailblazer" by *The National Law Journal*, a *Law360* "Rising Star" and a "Future Leader" by the *Institute of International Finance*.

Colin's work on derivatives and foreign exchange matters has included the development of path breaking derivatives products and transactions, providing regulatory guidance and updates to trade associations and self-regulatory organizations, and developing a comprehensive compliance manual widely used by registered swap dealers as the foundation for their compliance policies and procedures.

He advises U.S. and non-U.S. broker-dealers and other trading firms on variety of securities market regulatory matters, including compliance with SEC Rule 15a-6, ongoing capital, customer protection, and margin advice for investment banks, market structure issues – including high-frequency trading and market-making strategies – for full-service and proprietary trading firms, as well as advising commercial and custody banks on the permitted scope of securities-related activities.

He has represented clients in connection with settlements with various regulators, including the Department of Justice and CFTC, on matters involving global foreign exchange and interest-rate benchmarks, Dodd-Frank swap dealer regulations, swap data reporting, wash trading allegations, and segregation, recordkeeping, and reporting.

Colin is also advising a number of clients, from startups to established global financial institutions, regarding the use of blockchain, digital assets

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#### PRACTICES & CAPABILITIES

**Broker-Dealer**

**Capital Markets**

**Commodities, Futures & Derivatives**

**Digital Assets**

**Financial Services**

**Fintech**

**General Practice**

**Securities & Commodities  
Investigations Practice**

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#### EDUCATION

**2007, Harvard Law School,  
J.D.**

**2004, Vanderbilt University,  
B.A.**

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#### BAR ADMISSIONS

**New York**

**District of Columbia**

and cryptocurrencies. He has advised on regulatory, documentation, netting, and commercial law matters involving cryptocurrency transactions as well as on the development of new products. This includes the creation of a permissioned blockchain platform for trade settlement and the launch of a digital asset custody and transaction services business.

Colin is a frequent speaker on financial market regulatory matters, including at events organized by the American Bar Association, the Securities Industry and Financial Markets Association, the Futures Industry Association, the International Swaps and Derivatives Association, the International Bar Association, the Institute of International Bankers, the Practising Law Institute, and the CRE Finance Council. He is also a regular guest lecturer at Columbia University Law School and has been invited to speak at events held by Harvard Law School and Vanderbilt University Law School.