

**PETER J. CHEPUCAVAGE**

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Washington D.C. 20016  
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**EMPLOYMENT EXPERIENCE**

November 2001-

February 2005

Attorney Fellow

**Securities and Exchange Commission**

450 5<sup>th</sup> St N.W.

Washington D.C.20549

Worked primarily in the business continuity and Reg SHO areas. I was involved in the drafting of Reg SHO and the married puts release. Also involved in numerous Reg M enforcement cases and securities futures.

January 1998  
to July 2001

Counsel

**Fulbright & Jaworski**

666 Fifth Avenue, New York, NY 10103

Practice was devoted primarily to the representation of broker-dealers and investment advisers in both law and compliance including derivatives. Fulbright & Jaworski's Financial Institutions Practice Group in New York provides a broad range of services with an emphasis on representation of foreign and domestic broker-dealers, investment advisers and investment companies. The office regularly counsels a dozen broker-dealers including specialists, day trading firms, clearing firms, a stock exchange and at least 15 investment advisory firms, six registered investment companies and over 25 domestic and offshore private investment funds

September 1996

Managing Director, Chief Legal Officer and

to November 1997

Assistant Corporate Secretary

**Nomura Capital Services, Inc.**

2 World Financial Center, Building B, New York, NY 10281

NCSI is Nomura's Global Swaps entity. I was responsible for legal, compliance, employment matters and corporate secretary

work

July 1984                      Managing Director, General Counsel and Corporate  
to September 1996            Secretary

**Nomura Holding America, Inc.**

2 World Financial Center, Building B, New York, NY 10281

“Nomura” is the U.S. subsidiary of Japan’s largest Broker-Dealer. As its first General Counsel, I was involved in counseling the firm on broker-dealer and investment advisor’s compliance, “Government Securities” trading, corporate finance, derivatives, general corporate matters and litigation. I also have had responsibility for the Internal Audit and Compliance departments with total personnel of 50 people. In addition, I assisted the firm in the development of an International Investment Company and a number of Country Funds. I also helped develop and counseled the firm’s Credit Committee, New Products Committee and Management Committee.

September 1975                      Assistant General Counsel

to June 1984                      **National Association of Securities Dealers, Inc.**

1735 K Street, Washington, DC 20006

Duties included Broker-Dealer Regulation, Appellate work before the S.E.C. and Federal Courts, General Corporate work and some Legislative Analysis. Supervisory responsibility included the scheduling and administration of Board of Governors appeals and other matters.

August 1974                      Law Clerk

to August 1975                      Judge George R. Gallagher ,D.C. Court of Appeals

September 1969                      Infantry Officer

to August 1971                      U.S. Army 1<sup>st</sup> Bn., 9<sup>th</sup> Inf. 2<sup>nd</sup> Infantry Division

EDUCATION                      LLM October 1980 - Administrative/Securities Law

George Washington University School of Law

J. D. June 1974 - Top 10% of class/Law Review

The Catholic University of America School of Law

Currently A Member of the Board of Visitors

B. S. Economics and Philosophy 1969

University of Scranton, Scranton, Pennsylvania

Currently A Member of The President's Metropolitan Business Council Executive Committee

**PUBLICATIONS** The SEC and the Securities Bar: Adversaries or Allies,  
Catholic University Law Review, Fall 1973

S.E.C. Puts New Gloss on Professional Responsibility, American Bar Association Journal, November 1973,  
p. 1330

Book Review of the Sovereign State of ITT by Anthony Sampson, American Bar Association Journal, April  
1974, p. 398

Your Friendly One-Stop Financial Shopping Center, American Bar Association Journal, June 1974, p. 744

Self-Regulation in a National Market Environment, 13 Securities Regulation L. Rev. 313 (1981)

Sale of Foreign Products in the United States, NSCP National Meeting ,October 30,1998

IA Drafting Tips: Avoiding Trading Conflicts of Interests for Investment Managers NSCP Currents,  
January/February 2000, p. 7

The Remote Supervisor, NSCP East Coast Regional Meeting, May 8,20001

The Law Surrounding Commodity Trading Advisor Registration For Investment Advisers NSCP Currents,  
January/February 2001,p.3

Questions and Answers on Analyst Disclosure, NSCP Currents, March/April 2001

Analyst Disclosure :Are New Regulations Really Necessary? NSCP Currents, May/June 2001

Short Sales and Security Futures; The Need For Comprehensive Short Sale Regulation ,Futures &  
Derivatives Law Report, Fall 2001

### **PROFESSIONAL ASSOCIATIONS**

1987-1989 Securities Industry Association Federal Regulation Committee

1989-1990	National Society of Compliance Professionals Member of Board of Directors
1992-1994 Committee	Securities Industry Association Self Regulation and Supervisory Practices
1991-1993 Regulation	Association of the Bar of the City of New York Committee on Securities
1993-1997 Committee	Securities Industry Association Compliance and Legal Division Executive