HUSCH BLACKWELL



# Sarah Razaq Sallis

**PARTNER**

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**OVERVIEW**

## Sarah is co-leader of the firm's Securities & Commodities Regulatory & Enforcement group. Leveraging her experience in the Financial Industry Regulatory Authority's (FINRA's) Department of Member Regulation and more than a decade in private practice at global firms, Sarah helps clients confidently navigate securities regulations and implement compliance strategies aligned with their business models.

Sarah advises broker-dealers, investment advisers, investment companies, financial institutions, public companies, and individuals on securities enforcement, regulatory compliance, and internal investigations. She regularly represents clients in examinations, investigations, and enforcement actions brought by FINRA, the U.S. Securities and Exchange Commission (SEC), and state securities regulators. She also counsels both privately held and publicly traded companies on broker-dealer and investment adviser registration requirements and related securities matters, helping them assess whether their activities implicate registration obligations and structure their operations to avoid crossing into regulated territory.

Her practice spans a wide range of federal securities matters, including regulatory inquiries and internal investigations involving investment banking activities,

## Industry

Financial Services & Capital Markets

## Services

Commercial Litigation

Crypto, Digital Assets, & Blockchain

Fintech

International

Securities & Commodities Regulatory & Enforcement

Securities & Corporate Governance

White Collar, Internal Investigations, & Compliance

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retirement platforms, trading systems, market structure and regulation, pay-to-play concerns, anti-money laundering, statutory disqualification, and related issues. She also defends claims arising from transactions involving alternative and complex investment vehicles and strategies, such as variable annuities and variable life insurance, options and margin trading, real estate investment trusts, and volatility-linked exchange-traded notes.

Clients rely on Sarah throughout the regulatory lifecycle. She is often engaged during SEC and FINRA examinations—sometimes behind the scenes—to manage risk, guide strategy, and reduce the likelihood that matters escalate to enforcement. She also represents clients in investigations and proceedings following formal enforcement referrals. In addition, she provides compliance advice, helping firms assess internally identified issues, evaluate reporting obligations, preserve privilege, and prepare for potential regulatory engagement.

A multilingual attorney, Sarah also combines language skills with cultural fluency to cross-border matters involving clients unfamiliar with the U.S. regulatory environment. She regularly advises foreign financial institutions on U.S. securities enforcement and regulatory considerations, including institutions with limited or no U.S. presence.

Sarah takes a practical, business-focused approach, recognizing that while regulatory rules may be uniform, their application can vary significantly across firms and jurisdictions. She provides clear, actionable guidance so clients can make informed decisions with a full understanding of the associated risks. Clients value her ability to anticipate what comes next—an insight shaped by her experience at FINRA—and to explain strategy with clarity and purpose, giving them confidence as they navigate complex regulatory and enforcement matters.

## Recognition

- Best Lawyers: Ones to Watch® in America
  - Securities Regulation, 2021-2025
  - Securities Litigation, 2021-2025

## Education

- J.D., The George Washington University Law School
  - with honors
- B.A., University of Texas at Austin, College of Liberal Arts
  - *ampla cum laude*

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## Admissions

- District of Columbia

## Community Leadership

- United States Equestrian Federation
- Cathedral of St. Matthew the Apostle, Social Justice Committee Member

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