

## Andrea Greene Wells

Principal

Birmingham

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Andrea Greene Wells offers her clients over 15 years of litigation experience in defending brokerage firms and financial institutions against claims asserted by customers in court and in arbitration proceedings throughout the country. Andrea also defends brokerage firms and financial institutions in connection with regulatory investigations conducted by FINRA, the SEC and the Alabama Securities Commission. Andrea focuses her practice in financial products litigation, covering a vast array of investment-related products, services and transactions. She has extensive experience defending claims involving annuities, collateralized debt obligations and structured products. While Andrea now spends most of her time defending complex product matters in the financial services industry, she began her career as a general litigator, handling insurance defense matters. Her extensive trial experience equips her to handle a broad spectrum of litigation matters.

Representative of the clients that Andrea has represented in litigation matters are Hilliard Lyons (a Baird Company), Morgan Stanley Dean Witter, Inc., Raymond James Financial Services, Inc., Morgan Keegan & Company, AXA Equitable Life Insurance Company, Inc., AIG SunAmerica Life Assurance Company, TradeStation Securities, Inc., Fidelity Investments and UBS Financial Services, Inc.

Andrea is the Co-Founder of SWIFS (Southeastern Women in Financial Services), a network of more than 130 women attorneys in the financial services arena. Established in 2016, SWIFS has become a professional organization that is dedicated to the development and advancement of female leaders in the legal industry. SWIFS offers its members mentoring, training and educational programs. In addition, SWIFS supports the financial education and economic security of women in the Southeast through community partnerships, education, and advocacy. A passionate advocate for women, Andrea also serves on the Women's Initiative Committee at Bressler.

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### AREAS OF PRACTICE

Anti-Money Laundering  
Expungements  
Financial Institutions  
Financial Institutions Advisory Practice  
Financial Institutions Enforcement Defense  
Financial Institutions Internal Investigations  
Financial Institutions Litigation and Arbitration  
General Litigation  
Investment Advisers  
Retail Client Relationships  
Senior & Vulnerable Investor Group

### EDUCATION

- Cumberland School of Law, J.D., *cum laude*, 2003
- Samford University, B.A., *cum laude*, 2000

### ADMISSIONS

Alabama  
U.S. District Court for the Northern, Middle and Southern

## Awards & Accolades

- Recognized in the list of the *Birmingham Business Journal's* "Top 40 Under 40", 2018

*No aspect of this or any advertisement has been approved by the Supreme Court of New Jersey. A description of the award methodologies can be found [here](#).*

## Experience

- Successfully defended a global investment bank in connection with more than \$50 million in claims involving the sale of Collateralized Debt Obligations to retail investors
- Successfully defended a global financial services firm in connection with its sale of structured products to individual investors
- Successfully defended a number of registered representatives in expungement hearings to remove sales practice allegations from their Central Registration Depository records

## Speaking Engagements & Events

Fifth Annual Southeastern Women in Financial Services Spring Symposium Event, 05.04.2021

## Professional Affiliations

- American Bar Association, Dispute Resolution Section
- Alabama State Bar Association
- Birmingham Bar Association
  - Alternative Dispute Resolution Section, Executive Committee
  - CLE Co-chair
- American Inn of Court
- Securities Industry and Financial Markets Association, Compliance and Legal Division
- Southeastern Women in Financial Services
  - Co-Founder and Co-Chair of the Board

Districts of Alabama

Supreme Court of Alabama