

## Bradley B. Rounsaville

Principal

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Bradley B. Rounsaville has a national practice representing broker-dealers and financial services companies. Over the past fifteen years, he has personally tried more than 60 cases throughout the country before FINRA arbitration panels.

Brad has served as lead counsel on hundreds of other matters that were settled or dismissed prior to a final judgment; and argued numerous appeals in federal and state courts.

Brad has tried arbitrations in cities throughout the country, including Seattle, Portland, Denver, Phoenix, Dallas, Indianapolis, Philadelphia, Lexington, Nashville, Little Rock, Jackson, New Orleans, Birmingham, Atlanta, Tampa, Orlando, Fort Lauderdale, Miami, and San Juan, Puerto Rico.

Brad has extensive experience in many types of complex financial products including auction rate securities, structured finance securities, preferred securities, options, and variable annuities.

He is a member of both the Alabama and Florida bars. The Best Lawyers in America lists Brad as a leading lawyer in securities litigation.

### Awards & Accolades

- Recognized in *The Best Lawyers in America*<sup>®</sup>, Litigation - Securities, 2012-2021

### Experience

- Argued successfully before the U.S. Court of Appeals for the 8th Circuit on behalf of a global financial services company. Obtained 3-0 affirmance of the District Court's dismissal of claims filed by approximately 40 individuals, trusts, and companies based on investments made by an Arkansas trader through a commodities account

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### AREAS OF PRACTICE

Financial Institutions

Financial Institutions  
Enforcement Defense

Financial Institutions Internal  
Investigations

Financial Institutions Litigation  
and Arbitration

General Litigation

### EDUCATION

- University of Michigan Law School, J.D., 1998
- Mississippi State University, M.P.P.A., 1994
- Mississippi State University, B.A., 1992

### ADMISSIONS

Alabama

Florida

Supreme Court of Alabama

U.S. District Court, Northern,  
Middle & Southern Districts of  
Alabama

held with a company subsidiary. Plaintiffs' losses were in excess of \$30 million.

- Represented international company providing securities brokerage and custody services for independent investment advisers against claims brought by customers of defunct advisor located offshore. Claimants' losses were \$3.5 million.
- Personally tried more than a dozen FINRA arbitrations defending large broker-dealer against customer claims involving open-end and closed-end bond funds that invested in structured finance securities. Claimants' collective losses were in excess of \$10 million.
- Won arbitration for international financial services company against claims by an independent investment adviser concerning fraud and misappropriation of customer funds. Customer's losses were \$700,000.
- Won arbitration for large broker-dealer against noncustomer claims concerning the distribution of IRA assets after customer's death. Obtained affirmance of arbitration decision from state trial court and affirmance on appeal from the Supreme Court of Alabama. Claimants' alleged losses were \$2.5 million.

## News & Alerts

44 Bressler Attorneys Recognized By Best Lawyers in America 2021, Including 2 "Lawyers of the Year"  
Firm News, 08.20.2020

26 Bressler Attorneys Recognized by Best Lawyers in America 2020, Including 3 'Lawyers of the Year'  
Firm News, 08.15.2019

25 Bressler Attorneys Recognized by Best Lawyers in America 2019  
Firm News, 08.15.2018

## Speaking Engagements & Events

1st Annual Hearings in Review: The New Age of Virtual Trials  
Webinar, 03.09.2021

Bull or Bear: Financial Markets & COVID-19  
Webinar, 06.17.2020

## Professional Affiliations

- American Bar Association
- Securities Industry and Financial Markets Association (SIFMA)
- Alabama State Bar Association
- Florida Bar Association
- Birmingham Bar Association