

David G. Buffa

Principal

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David Buffa is a principal with the Financial Institutions Practice Group. Dave focuses his practice on defending financial firms and executives in regulatory investigations, internal investigations and civil litigation before state and federal court. Dave also advises clients on fund formation, securities registration and firm and individual registration issues. Drawing from years of experience in-house with a global financial institution, Dave works with financial services clients to create and implement anti-money laundering programs and compliance policies and procedures across multiple business lines.

Dave is a member of Bressler's Retail Client Group, which develops solutions for firms subject to the SEC's Regulation Best Interest and other recent developments impacting interactions with retail clients. Dave is also a member of the firm's Senior and Vulnerable Investor Group, which consists of Bressler lawyers with a shared interest in providing counsel to corporate clients who confront issues affecting seniors.

Dave earned his J.D. from Brooklyn Law School, where he served as Executive Notes and Comments Editor for the Brooklyn Journal of International Law and interned with Hon. Judge Sandra Townes in the Eastern District of New York. Prior to law school, Dave worked for the general counsel at a mortgage-backed securities broker-dealer in New York. Dave earned a B.A. in Philosophy from Columbia University, where he also rowed on the varsity heavyweight crew team.

News & Alerts

ESG Task Force, Emerging Risk Team, Exam Priorities for 2021 and Other Highlights from the SEC

Alert, *Financial Institutions Law Alert*, 03.11.2021

17 State Street
34th Floor
New York City, NY 10004

AREAS OF PRACTICE

Anti-Money Laundering

Expungements

Financial Crime Compliance

Financial Institutions

Financial Institutions Advisory Practice

Financial Institutions Enforcement Defense

Financial Institutions Internal Investigations

Financial Institutions Litigation and Arbitration

Investment Advisers

Retail Client Relationships

Senior & Vulnerable Investor Group

EDUCATION

- Brooklyn Law School, J.D., 2010
- Columbia University, B.A., 2005

ADMISSIONS

New York

New Jersey

Key Takeaways from ABA Panel on FINRA's 2021 Exam Findings and Regulatory Priorities
Alert, *Financial Institutions Law Alert*, 02.23.2021

FINRA Publishes 2021 Enforcement Priorities and Exam Findings Report
Alert, *Financial Institutions Law Alert*, 02.03.2021

Key Takeaways From the SEC's October 26th Roundtable on Reg BI and Form CRS
Alert, *Financial Institutions Law Alert*, 10.27.2020

Speaking Engagements & Events

Bressler Presents at the 2021 IADCA Virtual Annual Conference
04.22.21 - 04.23.21

Bressler is a Proud Sponsor of the 2020 SIFMA C&L Virtual Forum
Speaking Engagement, September 23-24, 2020

Reg BI is Here: Now What?
Webinar, 08.12.2020

Fraud in the Time of Coronavirus: Preventing & Confronting Selling Away & Ponzi Scheme Regulatory Issues & Claims
Webinar, 05.27.2020