

Josh D. Jones

Managing Principal, Alabama

Birmingham

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Josh Jones' priority is making his clients' work lives easier. His main goal is to provide effective, efficient, and quality legal work with no surprises, prompt responses, regular updates, accurate budgeting, and sound strategy to help each client meet their internal obligations. Brokerage firms, investment advisers, and other financial institutions across the country trust him to defend them against claims asserted by their customers and employees. With a focus on maintaining solid and favorable working relationships with a number of financial services regulators, Josh is able to regularly and successfully represent his clients' interests in investigations and enforcement actions. He also has substantial experience litigating and negotiating on behalf of lenders in a broad variety of matters, in general litigation before the state and federal courts of Alabama, Mississippi, and Tennessee, and in class action defense.

Josh is the Managing Principal of the firm's Alabama office, and a leader within the greater firm platform. He is a co-manager of Bressler's Senior and Vulnerable Investor Group, whose lawyers provide end-to-end advisory solutions and litigation support for investment advisers, broker-dealers and other financial institutions confronting senior/vulnerable investor issues. He also serves as co-chair of, and helps to oversee, Bressler's partnership nominating process designed to identify and assess candidates whose track record, legal skills, practice development, firm cultural integration, client service, and leadership skills are indicative of continued success at Bressler.

Growing up in a blue collar family in the sticks of west Alabama provided Josh with a firsthand understanding of the value of hard work. It also taught him the importance of knowing from where you came and giving back to those who need help. Along those lines and with his dad's military service in mind, Josh has an active pro bono practice that currently focuses on veterans' issues. He is a member of Volunteer Lawyers Birmingham's Veteran's Taskforce, volunteers with the ABA Military Pro Bono Project and Operation Stand-By, works multiple shifts at help desks offered by the VLB,

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AREAS OF PRACTICE

Bankruptcy, Creditors' Rights &
Business Reorganizations

Business & Commercial
Litigation

Financial Institutions

Financial Institutions Internal
Investigations

Financial Institutions Litigation
and Arbitration

Senior & Vulnerable Investor
Group

EDUCATION

- Washington and Lee
University School of Law,
J.D., *cum laude*, 2004
- University of Alabama, B.A.,
1996

ADMISSIONS

Alabama

Mississippi

Tennessee

and is accredited with the VA through the ABA's Veterans' Claims Assistance Network. He has been active in leadership of the American Bar Association's Section of Litigation for a number of years, including his current service as Co-chair of the Section's Audio Content Committee.

Awards & Accolades

- Recognized in The Best Lawyers in America®, 2020-2021
- Recognized in Mid-South Super Lawyers, Securities Litigation, 2015-2020
- Recognized on the Alabama Super Lawyers, "Rising Stars" List, Securities Litigation, 2011-2014
- Recognized in *Birmingham Business Journal's* "Who's Who in Law", 2020

Experience

- Successfully defended brokerage firm in Louisiana arbitration against \$200,000 customer claim relating to alleged trading platform malfunction.
- Successfully defended brokerage firm and registered representative in Massachusetts arbitration against \$478,000 customer claim relating to beneficiary dispute.
- Successfully defended registered representative in North Carolina arbitration against customer claim in excess of \$840,000 relating to alleged diminished capacity in connection with beneficiary designation
- Successfully defended brokerage firm in North Carolina arbitration against claim in excess of \$1.1 million relating to alleged failure to disclose fees
- Successfully defended brokerage firm in North Carolina arbitration against \$700,000 claim relating to alleged failure to execute
- Successfully defended brokerage firm and registered representatives in Florida arbitration against \$330,000 claim relating to investments in municipal bond funds
- Successfully defended brokerage firm and registered representatives in Florida arbitration against \$1,000,000 claim relating to investments in preferred stock
- Successfully defended brokerage firm and registered representatives in series of cases pending in multiple jurisdictions, including Illinois and Massachusetts, against claims relating to a managed product
- Represented local business before U.S. District Court for the Northern District of Alabama and on appeal to the Eleventh Circuit in purported class action relating to alleged violation of federal consumer protection laws, 564 F.3d 1301 (11th Circuit 2009)
- Represented publicly traded REIT in multiple federal and state court matters, including cases in which the courts enforced both the company's contractual lien in its customer agreement and its limitation of liability provision, see, e.g., 2012 U.S. Dist. LEXIS 136056 (N.D. Ala. 2012)
- Represented brokerage firm in federal court in successful attempt to secure injunctive relief preventing the arbitration of a non-customer claim, 829 F. Supp. 2d 1141(N.D. Ala. 2011)
- Represented world's largest retailer in successfully compelling arbitration of a customer claim and defense of same at arbitration, 963 So. 2d 76 (Ala. 2007)

News & Alerts

Bressler, Amery & Ross Managing Principal Appointed to Literacy Council of Central Alabama Board of Directors
Firm News, 01.15.2021

7 Bressler Attorneys Recognized by Mid-South Super Lawyers in 2020
Firm News, 11.30.2020

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

10 Bressler Attorneys Recognized by Mid-South Super Lawyers in 2019
Firm News, 11.05.2019

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

Bressler Birmingham Managing Principal Set to Receive 2019 Award of Distinction
Firm News, 08.2019

Bressler, Amery & Ross Names Joshua D. Jones as Managing Principal of Birmingham Office
Firm News, 01.09.2019

13 Bressler Attorneys Recognized by Mid-South Super Lawyers in 2018
Firm News, 11.08.2018

Speaking Engagements & Events

Bressler to Present Senior Investors Webinar for AD Banker
Webinar, 05.12.2020

COVID-19 and Senior Investors: Scams, Regulatory Responses & Best Practices
Webinar, 04.29.2020

Intellectual Property Litigation Tips for the Non-IP Litigator
Podcast, 04.2020

Third Annual Current Issues in FINRA Arbitration and Enforcement Regional CLE Program
Event, Fort Lauderdale, FL, 02.20.2020

Senior Investors and Vulnerable Clients: Preventing and Reporting Financial Exploitation
Speaking Engagement, Southlake, Texas, 01.24.2020

Principal Joshua Jones to Speak at at the 2019 Berthel Fisher & Company Financial Services National Conference
Speaking Engagement, Cedar Rapids, Iowa, 09.13.2019

Bressler Attorneys to Present on a Webinar Hosted by A.D. Banker and Company and Bressler
Webinar, 07.09.2019

Bressler Attorneys Richard Szuch, Josh Jones, Kerry Zinn and Susan George to Present on a Webinar Hosted by A.D. Banker and Company and Bressler
Webinar, 05.14.2019

Bressler Co-Hosts Seniors Webinar Series
Webinar, 05.14.2019

Second Annual Current Issues in FINRA Arbitration and Enforcement
Event, Tampa, Florida, 02.22.2019

Joshua Jones to Speak at Cumberland School of Law
Speaking Engagement, Birmingham, Alabama, 02.08.2019

Joshua Jones Participates in ABA Career Insights Podcast on Putting First Year Exams in Perspective
Podcast, 11.20.2018

Joshua Jones to Host ABA Career Insights Podcast on Staying Calm During Bar Exam Prep
Podcast, 06.19.2018

Bressler Sponsors ABA Regional CLE Workshop: Current Issues in FINRA Litigation and Enforcement
Event, Tampa, FL, 02.09.2018

Joshua Jones to Speak on ABA Section of Litigation Podcast
Podcast, 02.08.2018

Articles & Publications

FINRA Dispute Resolution Update
Publication, *American Bar Association*, 12.21.2020

Birmingham's Largest Litigation Firms
Publication, *Birmingham Business Journal*, 06.03.2020

Seniors Face Increased Risk for Financial Exploitation Associated with COVID-19
Investment News, 04.06.2020

Josh Jones Quoted in Newsday Article Discussing Scammers Using Virus Ruses
Publication, *Newsday*, 04.06.2020

Scams targeting seniors are incorporating COVID-19 Concerns
Publication, *Investment News*, 03.24.2020

Scammers Using Coronavirus To Prey On Consumers, Regulators Say
Publication, *Financial Advisor*, 03.23.2020

Expungement of Customer Complaints Against Securities Brokers: Front Page News?
Publication, *American Bar Association*, 12.13.2019

Advisors May be First to Notice Elder Abuse. Why Don't more Delay Disbursements?

Publication, *Financial Planning*, 09.04.2019

Protecting Privacy Rights While Preventing Financial Exploitation

Publication, *Corporate Compliance Insights*, 08.20.2019

Six Things to Know about Arbitrating Diminished Capacity Issues in FINRA Customer Cases

Publication, *American Bar Association*, 03.06.2019

Efforts to Protect Seniors and Other Vulnerable Adults from Financial Exploitation

Publication, *The Alabama Lawyer*, 07.27.2018

How Firms Should Respond To The Aging Financial Advisor Workforce

Publication, *Financial Advisor*, 06.08.2018

Professional Affiliations

- Alabama State Bar Association
- Birmingham Bar Association
- The Mississippi Bar
- American Bar Association
- The Literacy Council of Central Alabama, Board of Directors

Get to know Josh

Josh prefers to talk, does not mind writing, and is excited to otherwise contribute to the legal profession more generally. His favorite activities as Alabama Managing Principal include the big picture efforts to lead a great group of people in their individual and collective attempts to create satisfying legal practices, and the small, but important activities like occasionally getting to select the cake flavor for the monthly office-wide birthday celebration.

On a personal note, he is a big fan of hawks, Billy Joe Shaver, the constellation Orion, hushpuppies, pedal assist bikes, Archibald's, children with a sense of humor, rivers, WWII carrier pigeon message capsules (despite his family's steadfast refusal to buy him one for Christmas), and The Great Courses.