

Regina Pepe Martorana

Principal

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Regina Pepe Martorana is a Principal of the firm's Financial Institutions Litigation and Regulation group. She defends global broker-dealers and registered representatives in litigation and regulatory matters and also conducts internal investigations into possible misconduct on her clients' behalf.

Regina's depth of experience in her fully integrated practice results in the most comprehensive representation for her clients. She regularly conducts internal investigations into allegations of firm or financial advisor misconduct and alleged sales practice violations. She also represents her clients in FINRA arbitrations and regulatory matters. As a result, Regina demonstrates her extensive institutional knowledge and an unsurpassed understanding of all aspects of the facts and circumstances underlying the litigation and regulatory matters she handles. Regina's full service practice provides clients with the best possible representation in the most cost-effective manner. She also regularly advises clients on current litigation and regulatory trends and enjoys speaking at internal Legal and Compliance seminars on these topics.

She is a member of the firm's Hiring and Women's Initiative Committees and helps to manage one of the firm's largest client relationships. Regina is actively involved in Bressler firm activities and enjoys mentoring summer and junior associates.

Awards & Accolades

- Recognized on the New York Metro Super Lawyers "Rising Stars" List, 2013-2017

Experience

- Successfully defended broker-dealer against claims of \$80 million in damages incurred as a result of a failed naked options strategy

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

325 Columbia Turnpike
Suite 301
Florham Park, NJ 07932

AREAS OF PRACTICE

Financial Institutions

Financial Institutions Advisory
Practice

Financial Institutions
Enforcement Defense

Financial Institutions Internal
Investigations

Financial Institutions Litigation
and Arbitration

Retail Client Relationships

Senior & Vulnerable Investor
Group

EDUCATION

- New York Law School, J.D.,
cum laude, 2003
- Bernard M. Baruch College,
B.B.A., 2000

ADMISSIONS

New Jersey

New York

- Successfully represented broker-dealer and registered representative in mediation and regulatory inquiries against allegations of selling away and investments in an alleged Ponzi scheme
- Successfully defended registered representatives in expungement hearings to remove various sales practice allegations from their Central Registration Depository records

Articles & Publications

FINRA Identifies 2020 Exam Priorities

Alert, *Financial Institutions Law Alert*, 01.14.2020

SIFMA's C&L Society January Luncheon Addresses FINRA's 2019 Initiatives

Alert, 01.24.2019

Are You in Compliance? Municipal Advisor Registration Obligations

Publication, *American Bar Association*, 07.10.2018

Professional Affiliations

- New York State Bar Association

Get to know Regina

Regina is an avid cook and baker who enjoys traveling and spending family time with her children.