

Financial Institutions

Bressler's Financial Institutions team is comprised of nearly 75 lawyers, spread among our network of offices. Our clients include large broker-dealers with which we have had relationships for decades, as well as newer relationships with mid-sized and smaller independent firms.

Our group is comprised of go-to lawyers in our various sub-practice areas, fast-rising more junior partners and tiers of experienced associates. The broad expertise we have built eliminates, or substantially reduces, the amount of "start-up time" we need for new assignments. In addition, the fact that members of our team have substantial in-house experience helps to facilitate our focus on teamwork with in-house counsel. Our approach in each matter we handle includes lean staffing, close coordination with in-house counsel, reasonable billing rates, and the collaborative development and execution of cost-effective strategies.

News & Alerts

Georgia Enacts Broker-Dealer and Investment Adviser Financial Exploitation Law

Alert, *Financial Institutions Law Alert*, 05.22.2023

SEC Approves Overhaul of FINRA Expungement Process

Alert, 05.19.2023

Bressler's Logan Fisher Honored by NJBIZ 2023 Leaders in Finance Award

Firm News, 03.22.2023

FINRA Proposes Substantial Changes to its Arbitrator Selection Process and Introduces Other Procedural Amendments

Alert, 02.06.2023

FINRA Publishes "Effective Practices" for Obtaining Trusted Contact Information

Alert, *Financial Institutions*, 12.19.2022

FINRA Amends Proposed Expungement Overhaul

Alert, *Financial Institutions*, 11.18.2022

PRACTICE CONTACTS

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PROFESSIONALS

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Josh D. Jones

John Kincade

Nikolas S. Komyati

Daniel R. Korb, Jr.

Kim D. Larsen

David J. Libowsky

Donald R. Littlefield

Susan A. Logsdon

SEC Risk Alert - Examinations Focused on the New Investment Adviser Marketing Rule

Alert, *Financial Institutions*, 10.07.2022

FINRA Proposes Changes to Modernize its Supervisory Rule as Member Firms Embrace Hybrid Work Environments

Alert, *Financial Institutions*, 08.18.2022

50 Bressler Attorneys Recognized By Best Lawyers in America 2023, Including 1 "Lawyer of the Year" and 17 "Ones to Watch"

Firm News, 08.18.2022

FINRA Regulatory Notice 22-18: Digital Signature Forgery and Falsification

Alert, *Financial Institutions*, 08.12.2022

New Overhaul of FINRA Expungement Process Sent to SEC for Approval

Alert, *Financial Institutions*, 08.09.2022

Events

Regulatory and Compliance Hot Topics for Broker-Dealers and Investment Advisers

Webinar, Webinar, 02.01.2023

Sara Soto to Speak at the PLI Securities Arbitration 2022 Program

Speaking Engagement, 09.08.2022

Safeguarding Against Financial Exploitation - LIVE WEBCAST

Webinar, 08.24.2022

ABA SRO Sub-Committee Virtual Panel: Mid-Year Roundtable On FINRA Exams

Webinar, 07.28.2022

Articles & Publications

Preventing Financial Exploitation of Seniors and Vulnerable Adults — Q&A with Josh Jones

Publication, *JD Supra*, 07.19.2022

Practical Approaches To Managing An SEC Investigation

Publication, *Law360*, 06.07.2022

Webinars

Kalie M. Maniglia

Karl L. Marquardt

W. Preston Martin

Patrick Medeo

Louis F. Mendez

Alexander G. Middlemiss

Kirsten M. Nowak

Keith Olin

Ronak V. Patel

Gabrielle C. Pelura

Leonel Peraza, Jr.

Kathryn Dietrich Perreault

Laura Pizzitola

Thomas A. Roberts

Kathryn Burfitt Rockwood

Lawrence D. Ross

Alex J. Sabo

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Stephen J. Shine

Andrew W. Sidman

Sara Soto

Randi Perry Spallina

Gregory S. Sparer

Morgan B. Thompson

Angela A. Turiano

Christopher M. Vaughan

Andrea Greene Wells

Katelyn H. Wilson

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RELATED AREAS

Anti-Money Laundering

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