

Senior & Vulnerable Investor Group

Bressler's Senior and Vulnerable Investor Group combines the talents of more than 25 Attorneys, working from our offices around the country. These lawyers have decades of experience advising and defending broker dealers, investment advisers and insurers who confront problems related to senior and vulnerable investors and insureds. We design training, supervisory and investor education programs to avoid regulatory and litigation risk. We work collaboratively with regulators and state lawmakers with respect to best practices and education initiatives.

Bressler's interactive map and 50 State Survey of senior and diminished capacity laws is the industry's go to resource for information about the law and reporting obligations in the 50 states. When litigation or regulatory inquiries arise, Bressler vigorously defends the financial services industry against claims of wrongdoing.

Bressler's Senior and Vulnerable Investor team provides end-to-end advisory and compliance solutions and litigation support for investment advisers and broker dealers confronting senior/vulnerable investor issues including:

- Preparing firms for "senior readiness" regulatory examinations
- Assisting with open regulatory inquiries and examinations
- Defending investor claims in arbitration and in court
- Advising on disbursement and transactional holds and state reporting obligations
- Reviewing, designing and implementing senior-focused compliance programs
- Preparing and conducting training programs
- Analyzing and revising marketing materials directed to seniors
- Conducting internal investigations and informal reviews
- Responding immediately to concerns regarding ongoing or contemporaneous financial exploitation of vulnerable adults and offering solutions to protect both the firm and vulnerable adult

PRACTICE CONTACTS

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RELATED AREAS

Anti-Money Laundering

Financial Institutions Advisory
Practice

Financial Institutions
Enforcement Defense

News & Alerts

Georgia Enacts Broker-Dealer and Investment Adviser Financial Exploitation Law

Alert, *Financial Institutions Law Alert*, 05.22.2023

Bressler's Logan Fisher Honored by NJBIZ 2023 Leaders in Finance Award Firm News, 03.22.2023

Events

Seniors 201 - Developments in Efforts to Protect Clients and Prevent Exploitation Webinar

Webinar, 07.12.2023

Josh Jones to speak at the 2023 Wealth Management & Trust Executive Council Seminar

Speaking Engagement, 05.12.2023

Senior and Vulnerable Investors Map

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Services provided:

- Prepare firms for "senior readiness" regulatory examinations
- Assist with open regulatory inquiries and examinations
- Defend investor claims in arbitration and in court
- Advise on disbursement and transactional holds and state reporting obligations
- Review, design and implement senior-focused compliance programs
- Prepare and conduct training programs

Financial Institutions Internal Investigations

Financial Institutions Litigation and Arbitration

Retail Client Relationships

RELATED INDUSTRIES

Financial Services

- Analyze and revise marketing materials directed to seniors
- Conduct internal investigations and informal reviews

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Webinars