

Alexander G. Middlemiss

Associate

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Alexander Middlemiss is an associate in the firm's Financial Institutions practice group in the New York office. His practice includes representing broker-dealers, investment advisors, and other financial institutions in securities, commercial, and contract disputes in state courts, as well as FINRA and AAA arbitrations. Alexander also provides financial regulation and compliance counseling and advice to broker-dealers and investment advisors. He has advised clients concerning investment advisor and broker-dealer registration, custody, successor advisors, supervision, solicitors, the new marketing rule, and the Investment Advisers Act of 1940, to cite a few examples.

Alexander also prepares a number of vital documents for investment advisors and broker-dealers including Form ADV, Written Supervisory Procedures, Form CRS, Privacy Policies, and Business Consulting Agreements. As part of his practice, Alexander also represents varying financial institutions concerning regulatory investigations and actions commenced by the SEC, FINRA, and State Securities Commissioners.

Prior to joining Bressler, Alexander managed a significant caseload involving general liability and insurance law litigation matters at another New York firm. He is an alumnus of the Bressler summer law clerk program, and received his J.D. from St. John's University School of Law. While at St. John's University, Alexander was Senior Associate Editor of the Journal of Civil Rights and Economic Development, a participant in the 1L Negotiation Competition, and a member of the Corporate and Securities Law Society. In addition, Alexander served as a legal extern at both the United States Attorney's Office for the Eastern District of New York and FINRA. He received his B.A., cum laude, in History and Political Science from The University of Miami.

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AREAS OF PRACTICE

Financial Institutions

EDUCATION

- St. John's University School of Law, J.D., 2019
- University of Miami, B.A. in History and Political Science, *honors*, 2014

ADMISSIONS

New York

News & Alerts

Updates to CFP Board's Procedural Rules
Alert, 05.31.2023

FINRA Proposes Substantial Changes to its Arbitrator Selection Process and Introduces Other Procedural
Amendments
Alert, 02.06.2023

Professional Affiliations

- Member, New York State Bar Association