

David I. Hantman

Principal

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David is a results-oriented attorney with extensive trial, arbitration, mediation and regulatory experience. A dedicated litigator and regulatory attorney, David passionately advocates for his clients. He takes a practical, strategic approach to fully understand his clients' objectives to help them navigate the court and arbitration systems and regulatory/enforcement process.

He represents broker-dealers, investment advisers and other financial institutions, along with senior officers, executives, financial advisors, branch management and other individuals in a wide range of securities, civil and employment-related matters in state court, arbitration, mediation and regulatory forums.

David leads the firm's Expungement practice, working closely with in-house counsel, branch management, registration/regulatory reporting professionals and financial advisors to educate them about the expungement process and help evaluate regulatory disclosures, including customer complaints. He has built a dedicated team that assists both firms and registered representatives navigate the expungement process through court confirmation and has handled more than 100 expungement matters.

Taking a strategic, thoughtful and tireless approach, David has successfully handled countless arbitrations, mediations and court matters nationwide, while representing firms and individuals in state, FINRA and SEC regulatory and enforcement matters. He routinely handles product cases and has experience with a broad array of investments, including equities, bonds, mutual funds, ETFs, options, index options, commodities, futures, structured products, derivatives, limited partnerships, annuities, alternative investments (including hedge funds, fund-of-funds and private equity) and managed futures, to name a few. He also has vast experience in addressing outside business activities, operational issues, compliance policies, supervisory policies and standard operating procedures for financial services firms.

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AREAS OF PRACTICE

Business & Commercial
Litigation

Expungements

Financial Institutions

Financial Institutions Advisory
Practice

Financial Institutions
Enforcement Defense

Financial Institutions Internal
Investigations

Financial Institutions Litigation
and Arbitration

General Litigation

Investment Advisers

Retail Client Relationships

EDUCATION

- New York Law School, J.D.,
cum laude, 2007
- Cornell University, School of
Industrial and Labor
Relations, B.S., 2000

Aware of how changes in the legal and regulatory landscape can impact his clients, David frequently authors articles analyzing proposals and changes to best inform his clients. Of note, David worked closely with Financial Institutions industry leaders to author SIFMA's response to FINRA Regulatory Notice 17-42, which seeks to overhaul the expungement process. He also serves as a guest lecturer at New York Law School's Securities Arbitration Clinic and Alternative Dispute Resolution Arbitration Skills course.

Prior to joining Bressler, David served as a consultant in the hedge fund industry, providing due diligence, operational support and consulting services to hedge funds and funds-of-funds. From 2000-2006, he served as Director of Kroll Associates' Vendor Integrity Division, helping many Fortune 500 companies mitigate business risk. David's prior experience also includes prosecuting financial crimes at the Brooklyn District Attorney's Office and investigating/prosecuting securities law violations at the New York Stock Exchange Enforcement Division (now FINRA). A graduate of Cornell University and New York Law School, David served as Executive Case Comment Editor of the *New York Law School Law Review*.

News & Alerts

Updates to CFP Board's Procedural Rules
Alert, 05.31.2023

SEC Approves Overhaul of FINRA Expungement Process
Alert, 05.19.2023

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

FINRA Amends Proposed Expungement Overhaul
Alert, *Financial Institutions*, 11.18.2022

New Overhaul of FINRA Expungement Process Sent to SEC for Approval
Alert, *Financial Institutions*, 08.09.2022

Professional Affiliations

- American Bar Association
- New York State Bar Association
- New York City Bar Association- Litigation Section

ADMISSIONS

New Jersey

New York

U.S. District Court, District of
New Jersey

Get to Know David

In his free time, David enjoys marathon running, cooking and traveling with his wife and two children. He is an active member of the Westfield, NJ community and coaches his children in football, basketball, baseball and softball.