

## Dominick F. Evangelista

Executive Committee Member & Principal

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Dominick Evangelista plays an integral role in helping Bressler achieve its strategic growth and business objectives. He is a Principal in Bressler's New Jersey office, a senior leader in the firm-wide Financial Institutions practice group, and an Executive Committee member. Dominick previously served two terms on the Firm's Executive Committee and thereafter served as Bressler's Chief Operating Officer for seven years, managing the operational and administrative functions of the firm. In his leadership roles, Dominick works closely with other key firm members to develop and implement process improvements, business goals, and strategic growth initiatives.

Since joining Bressler in 1992, Dominick has drawn on his business intelligence and legal experience to identify and implement solutions to improve his clients' business objectives and operations. Dominick began his career in the legal department of a national broker-dealer, where he worked closely with both the business management side and the legal side of the company's operations, all to provide his clients with the best possible representation.

In addition to his leadership role within the firm, Dominick maintains an active litigation practice as a Principal in the firm's Financial Institutions practice group. He is a highly experienced litigator with almost thirty years of experience defending corporate and individual clients before federal and state courts and before the Financial Industry Regulatory Authority (FINRA) and other self-regulatory agencies. Dominick's practice focuses on representing global broker-dealers and registered representatives against sales practice allegations, including unsuitability, churning, unauthorized trading, selling away, misrepresentation and fraud in the purchase and sale of securities. He also has extensive experience defending clients in product-related litigation stemming from the offer and sale of annuities, mutual funds, and preferred securities. Dominick represents corporate and individual clients in FINRA regulatory matters against a wide range of sales practice allegations and other security rule violations.

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Suite 301  
Florham Park, NJ 07932

17 State Street  
34th Floor  
New York, NY 10004

### AREAS OF PRACTICE

COVID-19 Task Force

Financial Institutions

Financial Institutions Advisory  
Practice

Financial Institutions  
Enforcement Defense

Financial Institutions Internal  
Investigations

Financial Institutions Litigation  
and Arbitration

### EDUCATION

- St. John's University School of Law, J.D., *cum laude*, 1992
- St. John's University, B.S., 1988

### ADMISSIONS

New Jersey

New York

U.S. District Court, District of  
New Jersey

Appellate Division, Supreme  
Court of New York, 2nd Judicial

Dominick is known for aligning business operations with strategy and for driving operational efficiency and innovation. He is dedicated to providing superior service to all Bressler stakeholders, including clients, other firm principals, attorneys, employees, and the greater communities in which Bressler serves.

## Experience

- Lead defense counsel for global broker dealer for all Puerto Rico fixed income litigation
- Successfully defended broker-dealer against claims of \$80 million in damages incurred as a result of a failed naked options strategy
- Successfully defended global broker-dealers and registered representatives in FINRA arbitrations, mediations and in state court relating to trading losses incurred during the tech bubble meltdown and the financial crisis
- Successfully defended global broker-dealers in FINRA arbitrations, mediations and in state court concerning allegations relating to preferred securities and mortgage-backed securities

## Civic Involvement

- Wyckoff Education Foundation, Trustee

## Professional Affiliations

- American Bar Association, Broker-Dealer Litigation Subcommittee
- New Jersey State Bar Association
- New York State Bar Association
- New York County Lawyers' Association
- Association of the Bar of the City of New York
- Association of Trial Lawyers of America
- Securities Industry and Financial Markets
- Association (SIFMA), Compliance and Legal Society
- New Jersey State Securities Litigation Regulatory, Enforcement Committee

## Department

U.S. District Court, Southern  
District of New York

U.S. District Court, Western  
District of New York