

## Frank J. Cuccio

Principal

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Frank Cuccio is a Principal in the firm's Financial Institutions practice. Frank is a seasoned litigator with more than a decade of in-house experience at several national brokerage firms. He previously held positions as a registered representative, a brokerage operations supervisor, and was General Counsel for two securities trading firms. Frank's background gives him unique insight and perspective when he is advising clients on business, litigation, risk management, compliance, and regulatory matters. He has litigated numerous cases and negotiated many business and employment contracts. He has dealt with a variety of transactional, operational, and regulatory issues for financial institutions, broker-dealers, clearing firms and individuals.

Frank represents clients in federal and state courts, as well as before the Securities and Exchange Commission, FINRA and other self-regulatory organizations. Clients seek Frank's help to successfully navigate through litigation, arbitration, alternative dispute resolution, and regulatory investigations. Equally as important, clients rely on Frank's advice on business development, compliance and risk management issues. His mission is to help clients solve problems as favorably and cost-effectively as possible so they get back to running their businesses.

Frank has also held several senior leadership roles at Bressler. He recently served as firm-wide Managing Principal and President for three years. He was responsible for the development and execution of firm's business strategies, and helped Bressler navigate the challenges arising from the global coronavirus pandemic. Prior to that, Frank served as a member of the firm's Executive Committee which is its top policy-making board. As a former Co-Chair of the Hiring Committee, he worked to further the firm's deeply held culture of teamwork and collaboration through a dedicated focus on recruiting. And, as former Chair of the Principal Tracking Committee, Frank oversaw Bressler's partnership nominating process designed to identify and assess candidate opportunities for career

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### AREAS OF PRACTICE

Business & Commercial  
Litigation

Corporate and Commercial  
Transactions

COVID-19 Task Force

Financial Institutions

Retail Client Relationships

Senior & Vulnerable Investor  
Group

### EDUCATION

- New York Law School, J.D., 1993
- Ramapo College of New Jersey, B.S., Business Administration, 1985

### ADMISSIONS

New Jersey

New York

North Carolina

Pennsylvania (Inactive)

U.S. District Court, District of  
New Jersey

advancement, skill development, and firm involvement indicative of continued success at Bressler.

Frank is an active member of the legal community. He is a member of the New Jersey State Bar Association's Securities Committee. He is on the faculty of the Practising Law Institute and is a member of the SIFMA Compliance and Legal Society, the Securities Subcommittee of the American Bar Association's Litigation Section, the National Society of Compliance Professionals and the New Jersey Defense Association.

In addition to his legal industry involvement and law firm leadership responsibilities, Frank is a leader in the community. He is devoted to giving back. He previously served for 12 years on his town's school board as Chair of its finance committee. He was also vice president and president at various times in the town's youth baseball programs and has coached youth football, soccer, basketball, and baseball.

## Experience

- Frank was retained as the litigation counsel by an international brokerage firm in a series of arbitrations and regulatory investigations involving fixed income securities.
- He is a key member of a multi-firm team of attorneys who represents major financial institutions in hundreds of arbitrations involving complex investment products.
- He won directed verdicts dismissing claims against correspondent clearing firms.
- He represented several clients before FINRA and state regulatory authorities on issues involving sales practices and supervision, and assisted those clients in improving their supervisory policies.
- He received a multi-million dollar arbitration award in favor of his brokerage firm client against a registered investment adviser.
- He successfully represented an international brokerage firm before state securities commissions involving allegations of aiding and abetting a Ponzi scheme.
- Frank received a dismissal of charges levied by FINRA against an individual financial advisor accused of inappropriate mutual funds sales.

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

U.S. Court of Appeals, Third  
Circuit

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## Speaking Engagements & Events

Frank Cuccio and Joel Everest to Present at the PIABA Annual Meeting & Securities Law Seminar  
Speaking Engagement, 10.27.2021-10.28.2021

## Professional Affiliations

- New Jersey State Bar Association, Securities Law Committee, Member
- New Jersey Defense Association
- New York State Bar Association
- Securities Industry and Financial Markets Association (SIFMA), Compliance and Legal Society
- National Society of Compliance Professionals
- American Bar Association, Litigation Section

## Get to Know Frank

Frank and his wife Gretchen live in Jefferson Township, New Jersey and have four adult children.