

## Josh D. Jones

Managing Principal, Alabama

Birmingham

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Josh Jones' priority is making his clients' work lives easier. His main goal is to provide effective, efficient, and quality legal work with no surprises, prompt responses, regular updates, accurate budgeting, and sound strategy to help each client meet their internal obligations. Brokerage firms, investment advisers, and other financial institutions across the country trust him to defend them against claims asserted by their customers and employees. With a focus on maintaining solid and favorable working relationships with a number of financial services regulators, Josh is able to regularly and successfully represent his clients' interests in investigations and enforcement actions. He also has substantial experience litigating and negotiating on behalf of lenders in a broad variety of matters, in general litigation before the state and federal courts of Alabama, Mississippi, and Tennessee, and in class action defense.

Josh is the Managing Principal of the firm's Alabama office, and a leader within the greater firm platform. He is a co-manager of Bressler's Senior and Vulnerable Investor Group, whose lawyers provide end-to-end advisory solutions and litigation support for investment advisers, broker-dealers and other financial institutions confronting senior/vulnerable investor issues. He also serves as co-chair of, and helps to oversee, Bressler's partnership nominating process designed to identify and assess candidates whose track record, legal skills, practice development, firm cultural integration, client service, and leadership skills are indicative of continued success at Bressler.

Growing up in a blue collar family in the sticks of west Alabama provided Josh with a firsthand understanding of the value of hard work. It also taught him the importance of knowing from where you came and giving back to those who need help. Along those lines and with his dad's military service in mind, Josh has an active pro bono practice that currently focuses on veterans' issues. He is a member of Volunteer Lawyers Birmingham's Veteran's Taskforce, volunteers with the ABA Military Pro Bono Project and Operation Stand-By, works multiple shifts at help desks offered by the VLB,

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### AREAS OF PRACTICE

Bankruptcy, Creditors' Rights &  
Business Reorganizations

Business & Commercial  
Litigation

Financial Institutions

Financial Institutions Internal  
Investigations

Financial Institutions Litigation  
and Arbitration

Senior & Vulnerable Investor  
Group

### EDUCATION

- Washington and Lee  
University School of Law,  
J.D., *cum laude*, 2004
- University of Alabama, B.A.,  
1996

### ADMISSIONS

Alabama

Mississippi

Tennessee

and is accredited with the VA through the ABA's Veterans' Claims Assistance Network. He has been active in leadership of the American Bar Association's Section of Litigation for a number of years, including his current service as Co-chair of the Section's Audio Content Committee.

## Awards & Accolades

- Included on the list of the *Best Lawyers in America*®, 2020-2023
- Selected to the list of the *Mid-South Super Lawyers*, Securities Litigation, 2015-2021
- Recognized on the *Alabama Super Lawyers*, "Rising Stars" List, Securities Litigation, 2011-2014
- Recognized on the *Birmingham Business Journal's* "Who's Who in Law" List, 2020

*No aspect of this or any advertisement has been approved by the Supreme Court of New Jersey. A description of the award methodologies can be found here.*

## Experience

- Successfully defended brokerage firm in Louisiana arbitration against \$200,000 customer claim relating to alleged trading platform malfunction.
- Successfully defended brokerage firm and registered representative in Massachusetts arbitration against \$478,000 customer claim relating to beneficiary dispute.
- Successfully defended registered representative in North Carolina arbitration against customer claim in excess of \$840,000 relating to alleged diminished capacity in connection with beneficiary designation
- Successfully defended brokerage firm in North Carolina arbitration against claim in excess of \$1.1 million relating to alleged failure to disclose fees
- Successfully defended brokerage firm in North Carolina arbitration against \$700,000 claim relating to alleged failure to execute
- Successfully defended brokerage firm and registered representatives in Florida arbitration against \$330,000 claim relating to investments in municipal bond funds
- Successfully defended brokerage firm and registered representatives in Florida arbitration against \$1,000,000 claim relating to investments in preferred stock
- Successfully defended brokerage firm and registered representatives in series of cases pending in multiple jurisdictions, including Illinois and Massachusetts, against claims relating to a managed product
- Represented local business before U.S. District Court for the Northern District of Alabama and on appeal to the Eleventh Circuit in purported class action relating to alleged violation of federal consumer protection laws, 564 F.3d 1301 (11th Circuit 2009)
- Represented publicly traded REIT in multiple federal and state court matters, including cases in which the courts enforced both the company's contractual lien in its customer agreement and its limitation of liability provision, see, e.g., 2012 U.S. Dist. LEXIS 136056 (N.D. Ala. 2012)
- Represented brokerage firm in federal court in successful attempt to secure injunctive relief preventing the arbitration of a non-customer claim, 829 F. Supp. 2d 1141(N.D. Ala. 2011)

- Represented world's largest retailer in successfully compelling arbitration of a customer claim and defense of same at arbitration, 963 So. 2d 76 (Ala. 2007)

## News & Alerts

50 Bressler Attorneys Recognized By Best Lawyers in America 2023, Including 1 "Lawyer of the Year" and 17 "Ones to Watch"

Firm News, 08.18.2022

## Speaking Engagements & Events

Carole Miller, Josh Jones, Louis Mendez, and Angela Turiano to speak at SIFMA 2023 C&L Annual Seminar Seminar, San Diego, CA, 3.12.2023 - 3.15.2023

## Articles & Publications

Josh Jones Quoted in Birmingham Business Journal Article, *How should law firms prepare for the rise of crypto and related tech?*

Publication, *Birmingham Business Journal*, 11.29.2022

Preventing Financial Exploitation of Seniors and Vulnerable Adults — Q&A with Josh Jones

Publication, *JD Supra*, 07.19.2022

## Professional Affiliations

- Member, Alabama State Bar Association
- Member, Birmingham Bar Association
- Member, The Mississippi Bar
- Member, American Bar Association
- Member, Board of Directors, The Literacy Council of Central Alabama

## Get to know Josh

Josh prefers to talk, does not mind writing, and is excited to otherwise contribute to the legal profession more generally. His favorite activities as Alabama Managing Principal include the big picture efforts to lead a great group of people in their individual and collective attempts to create satisfying legal practices, and the small, but important activities like occasionally getting to select the cake flavor for the monthly office-wide birthday celebration.

On a personal note, he is a big fan of hawks, Billy Joe Shaver, the constellation Orion, hushpuppies, pedal assist bikes, Archibald's, children with a sense of humor, rivers, WWII carrier pigeon message capsules (despite his family's steadfast refusal to buy him one for Christmas), and The Great Courses.