

Financial Institutions Enforcement Defense

Bressler is a leader in defending clients in securities industry regulatory investigations and disciplinary proceedings. As regulators have become increasingly aggressive in bringing cases and in seeking steeper sanctions, it is more important than ever for regulated entities and persons to retain experienced, expert legal counsel with strong relationships with regulators.

We have successfully defended numerous investigations and disciplinary proceedings before the SEC, FINRA, the CFTC, the NFA and state securities regulators. Although regulatory investigations, by definition, require a certain measure of reaction, our approach is to increase the likelihood of a successful outcome by working with the client from the inception of the investigation to develop and implement strategies and themes designed to achieve the best possible result.

Another key to our success is to build upon our excellent relationships with many regulators to help demonstrate that Bressler and our client are focused on doing the right thing, cooperative, transparent and working in good faith to respond to the regulators' reasonable requests. The credibility we have established with regulators also is an important asset when it is appropriate to push back on a position the regulator is taking. While our primary goal is always to have an investigation closed without action, and a secondary goal is a favorable settlement, we have successfully tried disciplinary proceedings and moderated panels with FINRA hearing officers and disciplinary panelists.

Our regulatory defense practice encompasses a wide range of issues, including sales practice and supervision, trading, registration and regulatory reporting, AML, the dissemination to clients of required disclosures, the accuracy of the display of information in client-facing materials and 529 plans.

News & Alerts

Federal Court Enjoins Enforcement of the Corporate Transparency Act Alert, 03.06.2024

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Financial Institutions Internal

Chambers USA 2023 Recognizes 13 Bressler Attorneys and Five Practice Areas
Firm News, 06.01.2023

Events

Laura Pizzitola to Moderate Panel at ABA Securities Litigation Regional CLE Program
Speaking Engagement, 515 E. Las Olas Boulevard Suite 800 Fort Lauderdale, FL 33301, 02.23.2024

Investigations

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