

Expungements

The attorneys in Bressler's Expungement sub-practice are experienced securities litigators who represent individual and institutional clients nationwide with all aspects of the FINRA expungement process.

We are not just expungement attorneys. We are securities litigators with decades of experience defending all types of customer-initiated complaints in court and arbitration, as well as regulatory and enforcement matters. This broad experience gives us a deep understanding and in-depth knowledge of all types of investment products and firm policies and procedures, allowing us to make the key factual and legal arguments to best support our clients in expungement proceedings.

Due to FINRA's broad reporting requirements, many customer complaints that are frivolous or otherwise meritless are reported on a registered representatives' record, tarnishing their reputation and impacting business for the representative and firm alike. Bressler is an industry leader in the expungement arena and has developed a highly effective and efficient process to assist registered representatives clear their registration record, where appropriate.

Our attorneys closely monitor the regulatory landscape, including FINRA's recent proposed rule changes to the expungement process, which would make expungement more difficult and costly for both firms and individuals. We work closely with industry groups and author articles and alerts to keep our clients abreast of updates on the expungement process and rule changes.

Events

FINRA Expungement - The Latest on Recent Rule Changes Effective
10/16/2023
Webinar, 09.20.2023

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