

Retail Client Relationships

Bressler helps guide broker-dealers and investment advisers through the maze of federal and state regulations that impact the way firms service retail client relationships. The SEC's adoption of Regulation Best Interest and Form CRS as part of a new rulemaking package that changes the standard of conduct for broker-dealers and requires new disclosures for broker-dealers and investment advisers servicing retail clients. Additionally, certain state securities regulators have enacted or are proposing their own rules imposing a fiduciary standard on client relationships. Certain of those regulators have filed a lawsuit challenging Reg BI. Unless and until these conflicting standards are made uniform, the differing approaches present significant challenges for firms subject to both federal and state regulation. Bressler's Retail Client task force provides in-depth analysis on the rules, proposed rules, regulatory guidance and practical considerations for broker-dealers and investment advisers. Our team helps firms create cost-effective solutions for addressing Reg BI, Form CRS and state regulations.

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