

Financial Institutions

Bressler's Financial Institutions team is comprised of nearly 75 lawyers, spread among our network of offices. Our clients include large broker-dealers with which we have had relationships for decades, as well as newer relationships with mid-sized and smaller independent firms.

Our group is comprised of go-to lawyers in our various sub-practice areas, fast-rising more junior partners and tiers of experienced associates. The broad expertise we have built eliminates, or substantially reduces, the amount of "start-up time" we need for new assignments. In addition, the fact that members of our team have substantial in-house experience helps to facilitate our focus on teamwork with in-house counsel. Our approach in each matter we handle includes lean staffing, close coordination with in-house counsel, reasonable billing rates, and the collaborative development and execution of cost-effective strategies.

News & Alerts

FINRA Eyes Crypto Asset Communications
Alert, 02.08.2024

Older Adults Fall Victim to Government Impersonation Scams at Rates
Higher than Previously Thought
Alert, 10.09.2023

Bressler New York and Texas Attorneys selected to Super Lawyers 2023
Firm News, 09.27.2023

Updates to CFP Board's Procedural Rules
Alert, 05.31.2023

Events

Josh Jones and Donald Littlefield to speak at FMA 33rd Annual Securities
Compliance Seminar
Seminar, InterContinental Chicago Magnificent Mile, April 17 - 19, 2024

Seniors 101 - Updating the Ever-Evolving Challenge of Preventing and
Reporting Senior Financial Exploitation
Webinar, 04.03.2024

PRACTICE CONTACTS

Brian F. Amery
Keith Olin
A. Inge Selden, III
Andrew W. Sidman
Edwin A. Zipf

PROFESSIONALS

Brian F. Amery
Taylor Bandy
Frank M. Barnes, III
Joseph L. Calabrese
Mary Jo Cantu
Kathryn Capizzi
Sean J. Coughlin
Frank J. Cuccio
William G. Darling
Clinton Edgar
Dominick F. Evangelista
Joel M. Everest
Logan S. Fisher
Charles A. Hammaker
David I. Hantman
Wes Holston
Josh D. Jones
John Kincade
Daniel R. Korb, Jr.
David J. Libowsky
Donald R. Littlefield
Susan A. Logsdon
Kalie M. Maniglia
Karl L. Marquardt

Frank Cuccio and Logan Fisher to speak at 2023 NSCP National Conference
Conference, Dallas, Texas, 10.18.2023

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

Principal Andrea Greene Wells Speaking at SIFMA C&L 2023 Regional
Seminar in Charlotte
Speaking Engagement, Charlotte, NC, 09.11.2023

Ronak Patel to speak at Practicing Law Institute Fundamentals of Broker-
Dealer Regulation 2023 Program
Speaking Engagement, New York, NY, 07.17.2023

Ethical Considerations for In-House Counsel Webinar
Webinar, 06.27.2023

Articles & Publications

Cryptocurrency Compliance and Regulatory Considerations
Publication, *Journal of Financial Planning*, 09.2023

SEC Issues Report on Investment Advisor Arbitration: Is a Change Coming?
Publication, *American Bar Association*, 08.10.2023

FINRA Dispute Resolution Update: Five Takeaways from a Busy Year
Publication, *American Bar Association*, 08.01.2023

Recent Updates to CFP Board Procedural Rules
Publication, *Advisor Perspectives*, 07.17.2023

Webinars

W. Preston Martin
Patrick J. Medeo
Louis F. Mendez
Kirsten M. Nowak
Keith Olin
Ronak V. Patel
Leonel Peraza, Jr.
Kathryn Dietrich Perreault
Laura Pizzitola
Roxanne Rehm
Audrey Rizk
Kathryn Burfitt Rockwood
Alex J. Sabo
A. Inge Selden, III
Andrew W. Sidman
Sara Soto
Randi Perry Spallina
James E. Tyrrell, Jr.
Christopher M. Vaughan
Clay Wash
Andrea Greene Wells
Katelyn H. Wilson
Donald F. Winningham III
Edwin A. Zipf

RELATED AREAS

Anti-Money Laundering
Business & Commercial
Litigation
Expungements
Financial Crime Compliance
Financial Institutions Advisory
Practice
Financial Institutions
Enforcement Defense
Financial Institutions Internal
Investigations

Financial Institutions Litigation
and Arbitration

Retail Client Relationships

Senior & Vulnerable Investor
Group

RELATED INDUSTRIES

Automotive & Transportation

Healthcare & Managed Care
Organizations

Hospitality & Leisure

Industrial, Manufacturing, and
Distribution

Information Technology (IT)

Insurance

Real Estate

Retail