

Senior & Vulnerable Investor Group

Bressler's Senior and Vulnerable Investor Group combines the talents of more than 25 Attorneys, working from our offices around the country. These lawyers have decades of experience advising and defending broker dealers, investment advisers and insurers who confront problems related to senior and vulnerable investors and insureds. We design training, supervisory and investor education programs to avoid regulatory and litigation risk. We work collaboratively with regulators and state lawmakers with respect to best practices and education initiatives.

Bressler's interactive map and 50 State Survey of senior and diminished capacity laws is the industry's go to resource for information about the law and reporting obligations in the 50 states. When litigation or regulatory inquiries arise, Bressler vigorously defends the financial services industry against claims of wrongdoing.

Bressler's Senior and Vulnerable Investor team provides end-to-end advisory and compliance solutions and litigation support for investment advisers and broker dealers confronting senior/vulnerable investor issues including:

- Preparing firms for "senior readiness" regulatory examinations
- Assisting with open regulatory inquiries and examinations
- Defending investor claims in arbitration and in court
- Advising on disbursement and transactional holds and state reporting obligations
- Reviewing, designing and implementing senior-focused compliance programs
- Preparing and conducting training programs
- Analyzing and revising marketing materials directed to seniors
- Conducting internal investigations and informal reviews
- Responding immediately to concerns regarding ongoing or contemporaneous financial exploitation of vulnerable adults and offering solutions to protect both the firm and vulnerable adult

PRACTICE CONTACTS

Josh D. Jones

Alex J. Sabo

PROFESSIONALS

Taylor Bandy

Cynthia J. Borrelli

Joseph L. Calabrese

Mary Jo Cantu

Sean J. Coughlin

Frank J. Cuccio

Joel M. Everest

Logan S. Fisher

Charles A. Hammaker

Josh D. Jones

John Kincade

Daniel R. Korb, Jr.

Donald R. Littlefield

Susan A. Logsdon

Kalie M. Maniglia

Karl L. Marquardt

Kirsten M. Nowak

Roxanne Rehm

Audrey Rizk

Kathryn Burfitt Rockwood

Alex J. Sabo

Sara Soto

Clay Wash

Andrea Greene Wells

Edwin A. Zipf

News & Alerts

Michigan Enacts Broker-Dealer and Investment Adviser Financial Exploitation Law
Alert, 01.22.2024

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

Events

Estate Planning Issues Faced by Financial Services Professionals and Their Clients
Webinar, 06.11.2024

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

Logan Fisher, Andrew Egan, and Audrey Rizk to Speak on Estate Planning Council of Northern New Jersey Webinar
Webinar, 02.28.2024

Logan Fisher to Moderate NSCP Regulatory Interchange Webinar Speaking Engagement, 02.15.2024

FSDA Elder Law Review: Lessons of 2023 and Anticipations for 2024
Webinar, 12.06.2023

Seniors 301 - The Fragile Framework of Senior Protection: Exposure Under Existing Law
Webinar, 11.14.2023

Seniors 201 - Developments in Efforts to Protect Clients and Prevent Exploitation Webinar
Webinar, 07.12.2023

Senior and Vulnerable Investors Map

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RELATED AREAS

Anti-Money Laundering

Financial Institutions Advisory Practice

Financial Institutions Enforcement Defense

Financial Institutions Internal Investigations

Financial Institutions Litigation and Arbitration

Retail Client Relationships

RELATED INDUSTRIES

Financial Services

and vulnerable investors and insureds. We design training, supervisory and investor education programs to avoid regulatory and litigation risk. We work collaboratively with regulators and state lawmakers with respect to best practices and education initiatives. Bressler's 50 State Survey of senior and diminished capacity laws is the industry's go to resource for information about the law and reporting obligations in the 50 states. When litigation or regulatory inquiries arise, Bressler vigorously defends the financial services industry against claims of wrongdoing.

Services provided:

- Prepare firms for "senior readiness" regulatory examinations
- Assist with open regulatory inquiries and examinations
- Defend investor claims in arbitration and in court
- Advise on disbursement and transactional holds and state reporting obligations
- Review, design and implement senior-focused compliance programs
- Prepare and conduct training programs
- Analyze and revise marketing materials directed to seniors
- Conduct internal investigations and informal reviews

Contact

Joshua Jones
jdjones@bressler.com
205.820.8227

Alex Sabo
asabo@bressler.com
305.501.5485

Webinars