

## Edwin A. Zipf

Principal

Florham Park

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Listening is an art that helps define a client relationship. Representing financial institutions, brokerage firms, registered individuals and investment advisers in litigation and regulatory matters requires an understanding of the client's business and specific needs. That process starts with listening to the client, which is one of Edwin Zipf's greatest strengths. Since joining the firm in 1986, he has dedicated his career to representing clients in the financial services industry. An industry veteran, Ed also assists in overseeing and leading the firm's nationwide financial industry practice, one of the largest and most experienced groups of financial service attorneys in the country.

Complimenting Ed's attention to detail is his extensive experience in arbitration, mediation, internal investigations and regulatory proceedings before various industry bodies such as the Securities and Exchange Commission, FINRA and state regulators. With over three decades of experience focused on meeting the unique litigation needs of financial services institutions nationwide, Ed is highly effective in conflict resolution on behalf of institutional clients and registered individuals. Ed has many client relationships lasting over thirty years, evidence of the loyalty and confidence that exists between Ed and his clients.

### Experience

- Successful recovery of damages for a brokerage firm where its customer attempted to avoid a trade by alleging failure to disclose material information
- Successful defense of a brokerage firm in an arbitration alleging unsuitability and failure to disclose the risks associated with the firm's proprietary product, and where the outcome assisted the client in quashing a potential series of claims involving that proprietary product
- Representation of a small broker/dealer in a FINRA regulatory inquiry involving a complex trading strategy

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Suite 301  
Florham Park, NJ 07932

### AREAS OF PRACTICE

Financial Institutions

Financial Institutions Internal  
Investigations

Financial Institutions Litigation  
and Arbitration

Senior & Vulnerable Investor  
Group

### EDUCATION

- Seton Hall University School of Law, J.D., *cum laude*, 1983
- Rutgers University, B.S., 1979

### ADMISSIONS

New Jersey

U.S. District Court, District of  
New Jersey

U.S. Court of Appeals, Third  
Circuit

- Successful defense of a prime broker in an arbitration filed by an introducing firm alleging a failure to timely follow instructions and properly execute
- Successful defense of a clearing firm in an arbitration filed by an introducing firm claiming fraudulent inducement in entering into the clearing agreement and breach of contract
- Successful defense of a brokerage firm and registered individual in the sale of preferred stock where the customer alleged unsuitability and material misrepresentation
- Defense of an investment bank in matters pending in state court and federal bankruptcy court alleging theft of a proprietary business model
- Representation of registered representatives in successful expungement applications before FINRA and state and federal courts

### **Civic Involvement**

- Vice President, Deirdre's House

### **Professional Affiliations**

- American Bar Association
- Morris County Bar Association
- New Jersey State Bar Association
- Securities Industry and Financial Markets Association (SIFMA), Compliance and Legal Society

### **Get to Know Ed**

Aside from his professional relationships, Ed sits on boards of various charitable and community not-for-profit organizations and dedicates time to various charitable endeavors. Spending time at the Jersey Shore, playing golf and skiing allows Ed to spend time with his family and recharge himself.

### **Awards & Honors**

- Selected to the list of *Martindale-Hubbell*AV® Preeminent lawyers

*This award is conferred by Martindale-Hubbell. A description of the selection methodology is available [here](#). No aspect of this advertisement has been approved by the Supreme Court of New Jersey.*