

## Randi Perry Spallina

Counsel

Fort Lauderdale

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For almost three decades, Randi Spallina has assisted individual and corporate clients in both simple and complex matters with an eye toward a cost effective resolution. She enjoys advocating for her clients' best interests, whether in the arena of alternative dispute resolution or litigation. Complementing her litigation background, she is also a FINRA arbitrator.

Randi joined Bressler after working in-house at UBS Financial Services as an Associate General Counsel for almost eight years. At UBS, she was responsible for handling all phases of securities litigation and was involved with counseling branches on day-to-day matters. Prior to UBS, Randi was a commercial and securities litigator in private practice for nearly a decade at the law firm of Morgan, Lewis in both the firm's Los Angeles and Miami offices. She has an extensive background in complex litigation with a particular emphasis on securities litigation and the representation of broker-dealers and their employees in arbitrations before the Financial Industry Regulatory Authority (FINRA).

Passionate about her community, Randi serves as a guardian ad litem, advocating for the best interests of Florida's abused, abandoned and neglected children, with the goal of finding their way to a safe, loving, and permanent home. She has represented pro bono clients in guardianship, conservatorship and adoption proceedings. She also volunteered for Florida Justice Teaching, a program that pairs a legal professional with a public school to promote an understanding of Florida's justice system.

### Awards & Accolades

- Named an Honoree in the *Daily Business Review's* Florida Legal Awards, in the "Unsung Heroes" Category, 2022
- Received the *Dade Legal Aid* Outstanding Pro Bono Probate Award, 2021

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### AREAS OF PRACTICE

Expungements

Financial Institutions

Financial Institutions Internal  
Investigations

Financial Institutions Litigation  
and Arbitration

### EDUCATION

- University of Florida, J.D., 1992
- University of Florida, B.S., Business Administration, 1989

### ADMISSIONS

Florida

California

## Experience

- Successfully obtained expungements for financial advisors in numerous FINRA cases
- Successfully defended a securities principal and director of retail of a member firm in an NASD enforcement proceeding, *Department of Enforcement v. Kernweis, et al.* (2000)
- Successfully defended a public company after a lengthy bench trial and obtained substantial fees and expert costs in an unfair business practice case brought by the Attorney General of the State of California, *People ex rel. Lockyer v. Fremont General Corp.* (2001)
- On behalf of a major oil company, successfully obtained the dismissal of an injunction to shut down an oil pipeline from Canada to the United States
- Defense of numerous lawsuits and arbitrations arising from the 2007-2009 financial crisis and from the technology stock market crash of the early 2000s
- Representation of Merrill Lynch in the multi-billion dollar litigation brought against it by Orange County and other California municipalities in the wake of the Orange County bankruptcy

## Civic Involvement

- Volunteer Advocate, Broward County Guardian Ad Litem program
- Volunteer Advocate, Dade Legal Aid, Put Something Back

## Get to know Randi

In her spare time, you can find Randi and her family on the field at youth football and lacrosse games.