

Broker-Dealer and Investment Advisor Regulatory Compliance and Enforcement



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RELATED PRACTICES

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Reminger's Broker-Dealer and Investment Advisor Regulatory Compliance and Enforcement Practice Group provides proactive, efficient and cost-effective consulting services, counseling, advocacy and representation to broker-dealers and investment advisors and their registered and licensed personnel. We proactively position our clients to minimize their risk of negative consequences or further proceedings arising from examinations, inquiries and investigations, and to maximize the likelihood of favorable outcomes in enforcement proceedings that do arise.

Our lawyers have decades of experience representing financial services clients throughout the country, during which we have developed an approach designed to advance our clients' business operations, enhance their profitability, and minimize risk. We recognize the hurdles faced by financial institutions to operate both profitably and lawfully in an everchanging regulatory environment, and we endeavor to anticipate and address the needs of our clients to ensure their ability to grow and thrive, while maintaining a culture of compliance and a reputation of the highest ethical standards and integrity.

Our services include:

- Broad defense of clients in inquiries, investigations and enforcement proceedings brought by FINRA, SEC and state securities regulators, and assistance in responding to routine, cycle and for-cause exams. We assist in responding to FINRA Rule 8210 and similar inquiries, preparation for and representation during On-The-Record examinations (OTRs), and negotiating Acceptance, Waiver and Consent (AWC) and similar agreements and undertakings where appropriate.
- Proactive consulting to enable our clients to achieve and maintain compliance with regulatory and legal requirements, and to assist our clients in preparing for regulatory change and enforcement initiatives announced and pursued by federal and state regulatory bodies and self-regulatory organizations. We assist in creating internal compliance platforms for new initiatives, updating supervisory and compliance policies and procedures, and performing AML and other periodic and regular compliance audits.
- General contract work and securities regulation and compliance. We have served as counsel for Reg. D issuers, investment advisors and broker-dealers

in the preparation of offering materials, statutory filings, licensing agreements, advisory agreements, employment agreements and employment manuals, the formation of hedge funds and mutual funds, and business formation, mergers and acquisitions.

Reminger lawyers are at the forefront of state and federal securities laws and industry rules and regulations to ensure that we are providing our clients with up-to-date advice, guidance and information. We regularly monitor rule changes and proposals, requests for comments, interpretive material, regulatory updates and member notices, as well as legislative changes, court decisions, regulatory actions and enforcement cases, and examination and regulatory priorities. Over the years, we have cultivated and maintained open lines of communication with regulatory personnel to ensure the most up-to-date exchange of information and a relationship of mutual trust and respect. We have developed these relationships with industry personnel by handling active matters, providing (and requesting) assistance formally and informally, and seeking and providing input on emerging issues and priorities. Reminger lawyers also regularly attend and present at industry events with FINRA, SEC and state regulatory personnel, and have developed a collective reputation as industry thought leaders and experts.