

Compliance Reviews

Helping Financial Services Clients Comply with Evolving Laws and Regulations

The attorneys of Kaufman Dolowich's Financial Services Practice have a wealth of experience representing institutions and individuals operating throughout the financial services industry. Our lawyers advise securities brokers-dealers, investment advisors, financial planners and other financial professionals in a wide range of legal and regulatory compliance matters. Our firm is a highly skilled team of experienced practitioners, who focus on finding practical solutions that best support and advance our clients' business operations.

Our legal team is well-versed in the full range of federal laws and regulations governing financial services institutions and individuals, including FINRA conduct rules, SEC rules and the new Department of Labor ("DOL") Fiduciary Rule, among others. We also counsel our clients on compliance matters involving state laws and regulations, such as state requirements covering the sale of annuities. Kaufman Dolowich attorneys represent financial services institutions and individuals in connection with regulatory investigations, licensing actions, enforcement proceedings and other lawsuits nationwide.

Our firm's Financial Services Practice includes former regulators and in-house lawyers, including an attorney with over 10 years of experience working in-house for a broker-dealer. Our clients trust that we not only know the law, we also know their businesses. We speak our clients' language and work with them to develop compliance strategies and practices that make good business sense.

Internal Compliance Reviews

Kaufman Dolowich attorneys routinely work with clients to review and assess their internal compliance functions. We believe in taking a proactive approach to compliance matters and assist our clients in developing and implementing best practices to assist them in becoming fully compliant with federal and state laws and regulations. Our financial services attorneys also keep abreast of new laws impacting the industry, helping our clients to stay ahead of evolving developments to achieve compliance with the changing regulatory landscape.

Training and Seminars for Financial Services Clients

Our attorneys regularly provide training and seminars to financial services clients across the nation on a full range of federal and state regulatory matters. Our on-site programs are tailored to the needs of the individual firm, recognizing that each financial services firm, though highly regulated, has its unique mix of specialties and clients. Our presentations are designed to help clients understand complex federal and state requirements so they can adopt appropriate compliance processes and procedures.

We understand that compliance in the financial services industry requires constant effort and our lawyers work to establish long-standing relationships with our clients by assisting them with their compliance efforts on an ongoing basis.