KAUFMAN | DOLOWICH

Mansfield Rule
Certified 2022-2023

Financial Services

Meeting the Evolving Needs of the Financial Services Industry

For more than 35 years, Kaufman Dolowich has worked to meet the complex needs of the financial services industry. Our firm is comprised of a team of experienced practitioners who collaborate with colleagues throughout the firm's diverse practice groups to deliver the highest quality services to our clients. We are proud of our premier reputation and know that institutions and individuals operating throughout the financial services industry rely on our firm to provide the counsel and assistance they need to handle their most challenging legal, regulatory and business matters.

The attorneys at Kaufman Dolowich have a wealth of experience advising and representing financial institutions, broker-dealers, registered representatives, financial planners, investment advisors and other financial professionals. Our legal team includes both former regulators and in-house lawyers with decades of collective experience advising financial services firms and professionals. We have an intimate understanding of the industry and navigate our clients through the complex and ever-changing framework of rules and regulations that govern its operations. Our attorneys regularly handle matters before regulatory authorities, including the SEC, DOJ, CFTC, FDIC, FINRA and state Attorney Generals' offices and Insurance Commissioners. We also counsel firms and individuals on compliance matters and assist with internal reviews. Additionally, our legal team represents clients during grand jury investigations and litigates disputes in state and federal courts across the nation.

Kaufman Dolowich's financial services attorneys also assist banks, leasing companies, financial institutions and other entities with a wide array of legal and business matters. Our firm offers clients a broad spectrum of services, including commercial litigation, loan workout and restructuring, judgment enforcement, bankruptcy representation and creditor's rights. We also advise clients on new commercial loans, including lease transactions, asset-based lending and real estate financing.

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