



Gregg Breitbart

Overview

Gregg Breitbart serves as the co-managing partner of the Fort Lauderdale office and is the co-chair of the Financial Services & Institutions Practice Group. Mr. Breitbart focuses his practice on securities arbitration and litigation; securities regulatory and enforcement matters before the Securities and Exchange Commission, Financial Industry Regulatory Authority (FINRA) and state regulatory authorities; employment litigation; directors & officers (D&O) litigation; corporate governance matters; and related commercial litigation and counseling.

Mr. Breitbart has more than 30 years of experience. Prior to joining Kaufman Dolowich, he served as a partner at a Wall Street-based law firm representing corporate and individual clients in securities-related matters, including arbitration, litigation and regulatory proceedings. Preceding that position, Mr. Breitbart served as the general counsel of a regional broker-dealer and investment bank, with more than 300 associated persons. In that role, Mr. Breitbart handled a wide range of matters including securities regulatory and enforcement issues with the Securities and Exchange Commission, FINRA, and various state regulatory authorities; securities arbitration and litigation on behalf of the firm and its representatives; employment-related disputes, litigation and arbitration; and related commercial litigation and counseling. Prior to that position, Mr. Breitbart was a partner with an international law firm located in Miami, Florida, where his practice focused on representing clients in securities litigation and arbitrations, regulatory investigations and proceedings, and commercial litigation.

Mr. Breitbart began his legal career in New York with one of the nation's oldest law firms, Cadwalader, Wickersham & Taft, where he participated in a variety of commercial matters, including litigation (securities/broker-dealer, corporate governance, employment) and corporate finance (CMO's, sale-leaseback transactions and other securitized finance transactions).

Admissions

- Florida
- New York
- U.S. District Court
 - Southern District of Florida
- U.S. Court of Appeals
 - Eleventh Circuit



Co-Managing Partner, Fort Lauderdale, FL Office
Co-Chair of Financial Services & Institutions Practice Group

Contact Information

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Related Practices

- Financial Services
- FINRA/AAA Arbitrations (Customer & Industry Disputes)
- Securities / Broker-Dealers
- Commercial Litigation
- Directors and Officers (D&O)
- Employment Practices Liability
- Accountants and Actuaries
- Compliance Reviews
- Defense of Investment Professionals in Civil Court Actions
- Insurance Agents and Brokers
- Regulatory Defense and Counseling
- Insurance Regulatory & Transactional
- Financial Services

- *Middle District of Florida*

Education

- *University of Miami – J.D.*
 - *University of Miami Law Review, Associate Editor*
- *University of North Carolina, Chapel Hill – B.A*

Professional Memberships

- *Florida Bar Association*
- *New York State Bar Association*
- *American Bar Association*

Awards

Recognition

- *Florida Super Lawyers (2016)*

Publications

- *Finra's One-Time Offer: Discharge Bad Brokers And Avoid "Restricted" Designation*, quote from Gregg Breitbart, Esq., in *AdvisorHub*
- *So, You're in Legal Trouble. Does Your Firm Have Your Back?* *Financial Advisor IQ*, March 23, 2022
- *Merrill's Swift Firing of FA Over Tirade a Stark Reminder*, *Financial Advisor IQ*, quote by Gregg Breitbart, Esq., 1-28-22
- *Gregg Breitbart, Gara Seagraves, present "FINRA Hot Topics: A View From the Field" at 2021 IBDC Annual Conference*
- *How advisers can avoid Finra scrutiny over personal liens, judgments, or bankruptcies*, *InvestmentNew's Outside-IN*
- *Mediation in Securities Arbitration Cases: Regain Control*, *New York Law Journal*
- *The Proliferation of Complex Investment Products May Lead to More FINRA Enforcement Actions and Arbitration Claims*, *PLUS Journal*
- *FINRA's New "Know Your Customer" and Suitability Rules – Something Old, Something New*, *DRI's Riding the E&O Line*

News

- *KD Alert: SEC Approves Revamped FINRA Background Checks Rule; Broker Recruitment Compensation Rule Expected*
- *The Proliferation of Complex Investment Products May Lead to More FINRA Enforcement Actions and Arbitration Claims*, *PLUS Journal*

- *KD Alert: The Supreme Court of the United States Opens the Door to Additional Whistleblower Claims and Shareholder Litigation*

Speaking Engagements

- *October 2022, "Settling Securities Disputes," Annual Public Investors Advocate Bar Association: "Settling Securities Disputes," Annual Public Investors Advocate Bar Association, San Antonio, Texas*
- *David Baugh, Gregg Breitbart Speakers at 2018 IBDC CONFERENCE*
- *Gregg Breitbart Guest Speaker at Annual PIABA Conference in Bonita Springs, FL: final hearing strategies*
- *Stefan Dandelles and Gregg Breitbart, Presenters at 2016 IBDC Annual Conference: FINRA and SEC "Hot Topics"*
- *Gregg Breitbart, Guest Lecturer at the University of Miami Law School Investor Rights Clinic: Securities Arbitration from the Defense Perspective*
- *2015 Independent Broker Dealer Consortium Annual Conference*
- *2014 Kovack Securities, Inc. Annual Conference: Managing Compliance Risks: Protecting Yourself and the Firm*
- *Gregg Breitbart presents at NEXT Financial Group's Annual Educational Conference: Best Practices to Avoid and Defend Securities Arbitrations*
- *Gregg Breitbart gives panel presentation for the Palm Beach County Bar Association: Mandatory Arbitration of Investor and Employment Claims before FINRA, AAA and NFA*
- *Ivan Dolowich and Gregg Breitbart present at the 2013 Catlin Consortium: Mediation in Securities Arbitration Cases*
- *ADR/Mediation & Securities Committees Joint CLE Lunch: FINRA Mediation: Maximizing Results for You and Your Clients*