

Contact**Houston**

1200 Smith Street, Suite 1400
Houston, Texas 77002-4310
Tel: 713.658.1818
Fax: 713.658.2553

Atlanta

191 Peachtree Street, N.E.,
Forty-Sixth Floor
Atlanta, Georgia 30303
Tel: 404.659.1410
Fax: 404.659.1852

Philadelphia

300 Conshohocken State Road
Suite 570
West Conshohocken, PA 19428
Tel: 610.772.2300
Fax: 610.772.2305

San Antonio

112 East Pecan Street, Suite
1450
San Antonio, Texas 78205
Tel: 210.253.8383
Fax: 210.253.8384

Broker/Dealers**Broker/Dealers**

The attorneys at Chamberlain Hrdlicka routinely counsel broker-dealer clients on a broad range of legal issues:

- Dodd-Frank and other financial institution regulatory reform
- Regulatory, compliance and securities law matters relating to broker-dealers
- Advise broker-dealers on the rules of the SEC, FINRA and other regulatory and self-regulatory organizations
- Registration requirements, including with regard to unregistered affiliates of registered broker-dealers that wish to engage in securities-related activities

Our clients include a broad range of broker-dealers, as well as their non-broker-dealer subsidiaries and affiliates. We also serve small and mid-sized firms, and affiliates of insurance, commercial banking and other financial services companies. Chamberlain Hrdlicka also provides its broker-dealer clients with a full range of corporate, securities, M&A, tax and other advice in connection with their investment banking activities.