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Broker/Dealers

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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.