

Shutts & Bowen Adds Former FINRA Senior Enforcement Attorney Kevin D. Rosen as a Partner to the Financial Services Practice Group

10.18.16

Shutts & Bowen is pleased to announce the addition of Kevin D. Rosen, a former senior securities regulatory enforcement attorney, as a partner in its [Financial Services](#) practice group in the firm's Miami office.

"Kevin brings with him unique knowledge of federal securities law and regulation, which will greatly enhance the ability of the Shutts & Bowen Financial Services Industry practice group to serve its substantial Securities Industry clientele," said [Bowman Brown](#), Chairman of the Executive Committee.

Mr. Rosen previously served as Senior Regional Counsel in the Department of Enforcement at the Financial Industry Regulatory Authority (FINRA), Associate Regional Director with FINRA Dispute Resolution, and Senior Staff Attorney with the Florida Department of Banking and Finance.

At FINRA, Mr. Rosen was at the frontline of cybersecurity regulation, having served nationally as FINRA's Regulatory Specialist on FINRA's Cybersecurity and Information Technology Governance Disposition Group. He evaluated FINRA's cybersecurity examinations, findings, recommendations, and disciplinary actions. As a lead enforcement lawyer, Mr. Rosen also directed many significant enforcement proceedings for compliance, supervision and sales practice violations, providing him with years of firsthand experience with FINRA's restitution and enforcement processes. Mr. Rosen is also extremely knowledgeable concerning FINRA's arbitration program, having years of experience managing FINRA staff, administering arbitration claims, and providing guidance on FINRA arbitration rules and procedures.

Mr. Rosen is a sought-after speaker on cybersecurity and securities regulation. He is a frequent lecturer at FINRA, industry, legal, academic, and law enforcement conferences.

Mr. Rosen is a Certified Information Privacy Professional/United States (CIPP/US) by the International Association of Privacy Professionals, and is a Certified Regulatory Compliance Professional (CRCP) by the FINRA Institute – Wharton School of Business. He received his J.D. from Nova Southeastern University and his B.S.B.A. in Finance from the University of Florida.



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About Shutts & Bowen LLP

Established in 1910, Shutts & Bowen is a full-service business law firm with more than 260 lawyers in offices in Fort Lauderdale, Miami, Orlando, Sarasota, Tallahassee, Tampa and West Palm Beach. Learn more about Shutts & Bowen at www.shutts.com.

Professionals

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