

## FINANCIAL SERVICES

# Broker-Dealer Transactional, Regulatory, and Compliance

Winston’s Financial Services attorneys advise a wide range of financial services firms, including broker-dealers and other providers of financial services, on their corporate transactions, regulatory compliance, enforcement, and litigation matters. We provide our broker-dealer clients with a “one stop shop” for all their legal needs.

### WHAT WE DO

#### REGULATORY, COMPLIANCE & CORPORATE TRANSACTIONS

- SEC, FINRA, and other SRO registration and membership issues
- Supervision
- AML
- Capital requirements
- Customer protection
- Sales practices
- Regulation best-interest research
- Trading and trade reporting distribution of securities
- Pay-to-play restrictions
- Insider trading
- FINRA’s corporate financing rules, and soft dollars

#### ORGANIZATION & STRUCTURAL COUNSEL

- Organize and expand broker-dealers’ businesses
- Advise on FINRA’s application process for new and existing member firms and on buy- and sell-side acquisitions of broker-dealers
- Provide counsel on issues for non-U.S. broker-dealers entering and/or providing services in the U.S.
- Represent broker-dealers in new product offerings, commencing new lines of business, and acquiring other financial services firms or assets

#### INVESTIGATION, ENFORCEMENT & LITIGATION COUNSEL

Serve as lead counsel in complex arbitrations before:

- FINRA
- JAMS
- American Arbitration Association
- Federal trial and appellate courts throughout the country and abroad

Handle issues arising under:

- Securities Act of 1933
- Securities and Exchange Act of 1934
- Investment Advisers Act of 1940
- Investment Company Act of 1940
- Various state blue-sky statutes
- Municipal Securities Rulemaking Board

## EXPERIENCE WITH GOVERNMENT AGENCIES & RELATED REGULATIONS

SEC	FINRA	CTFC
FINCEN	STATE FINANCIAL REGULATORY AUTHORITIES	AAA
DODD-FRANK ACT COMPLIANCE	BSA/AML COMPLIANCE	OFAC SANCTIONS
SECURITIES ACT OF 1933, SECURITIES EXCHANGE ACT OF 1934, INVESTMENT COMPANY ACT OF 1940, AND INVESTMENT ADVISERS ACT OF 1940	STATE DATA PRIVACY AUTHORITIES	JAMS

“The firm has knowledge across the breadth of the financial services world. I can go to them with any question and get a prompt, well-informed answer and judgment.”

CHAMBERS USA

## Select Representative Clients

BNP Paribas  
Citigroup  
JPMorgan Chase Bank  
Morgan Stanley  
Santander Bank

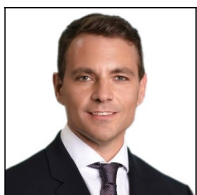
## Core Team



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