



STEVE MUELLER  
LEGAL SUPPORT SERVICES

*Financial Services –  
Broker Dealers*

# BROKER DEALER

## LEGAL SUPPORT SERVICES SERVICES

### Law Clerk & Advanced Paralegal Services:

- **Corporate and commercial transactions and regulatory approvals**, including consortium and joint-venture arrangements; formation, acquisition, restructuring and membership applications of broker-dealers; changes in ownership, operations and control; new business activities; the development and financing of order management, trading, execution and clearing platforms; conducting business in foreign jurisdictions and cross-border transactions; intellectual property and licensing transactions; foreign broker-dealer activities in the United States; and clearing and other vendor agreements.
- **Trade execution, market making and research**, including commissions, markups, markdowns and commission sharing; trading restrictions involving Regulation M, Regulation SHO, Regulation S, Rule 144 and Rule 144A; trade and account reporting, surveillance and fraud detection; ethical walls, information barriers and insider trading; and soft dollars.

### Continued:

- **Regulatory issues**, including implementation of Dodd Frank, interpretation of rules and best practices with respect to SEC and self-regulatory organization rules; risk management; development of supervisory and employee policies, procedures and certifications; advertising, sales materials and sales practices requirements; review and approval of complex and new products; record keeping and reporting; net capital issues; Anti-Money Laundering (AML), Foreign Corrupt Practices Act (FCPA), and U.K. Anti-Bribery Law requirements; registration exemptions including "finders" issues; confidential information; no-action letters and interpretive advice; and social media.
- **Examinations and enforcement defense**, including assistance in all phases of regulatory inquiries, sweeps, examinations, internal investigations, law-enforcement investigations, Wells notices, enforcement actions and criminal prosecution; and responses to requests for information, including document production and on-the-record interviews from the SEC, FINRA, and state and foreign regulatory authorities, law enforcement agencies, and various exchanges.
- **Litigation and arbitration**, including representation of financial services firms in state and federal courts, FINRA and private arbitration forums in industry, employee, and customer disputes.