



SECURITIES REGULATION AND COMPLIANCE

Conner & Winters securities regulatory and compliance section is a focus area within our larger securities practice and provides services to securities and financial companies and investment professionals in comprehensive corporate, compliance and litigation matters. Members of this practice group have represented issuers, corporate officers and directors, broker-dealers and licensed securities professionals in a broad range of compliance and regulatory matters before the Securities and Exchange Commission, the New York Stock Exchange, the Financial Industry Regulatory Authority, Inc., the Commodity Futures Trading Commission and numerous state regulatory agencies, and have been chosen by the Securities Investor Protection Corporation, the Securities and Exchange Commission, the Oklahoma Department of Securities, and the Department of Justice to serve as trustees, receivers and examiners of securities firms and in securities-related cases. The combined experience in this practice area includes a former administrator of the Oklahoma Securities Commission and a former Assistant United States Attorney who prosecuted securities and white-collar crimes. In addition to our general compliance practice in this area, we have broad experience in representing companies and investment professionals in grand jury investigations, administrative licensing proceedings and sanction hearings. We have also represented clients in federal and state court injunctive actions brought by regulatory agencies such as the Securities and Exchange Commission, the Financial Industry Regulatory Authority, the Oklahoma Department of Securities, other state securities agencies, the Commodities Futures Trading Commission, the Federal Trade Commission, and other federal and state regulatory agencies. Our firm has represented numerous companies, corporate officers and directors, brokerage firms, investment advisors, banks, accounting firms, and law firms in the defense of claims under federal and state securities laws, and other investment-related federal and state statutes, in both federal and state courts. We have broad experience in several forms of dispute resolution, including litigation, arbitration and mediation. Our

ATTORNEYS

Mark D. Berman
William E. Foster
Robert J. Melgaard
J. Ryan Sacra
Eric L. Sardella
Greg S. Scharlau
Alexander Shell

RELATED PRACTICES

Business Formation and Organization
Capital Markets and Securities Offerings
Corporate and Securities
Corporate Compliance and Governance
Mergers & Acquisitions

Securities Regulation and Compliance

attorneys have handled arbitrations administered by the American Arbitration Association, the Financial Industry Regulatory Authority, the New York Stock Exchange and the International Chamber of Commerce, and by private agreement.

In this area, we provide legal services regarding matters such as:

- Broker-dealer and registered representative formation, licensing and compliance
- Investment adviser and investment adviser representative formation, licensing and compliance
- Formation and compliance of investment funds
- Formation, registration and compliance matters under the Investment Company Act of 1940
- Listing and compliance under the rules of the New York Stock Exchange and Financial Industry Regulatory Authority, Inc.
- Defense of administrative agency actions, actions for injunctive relief, and federal and state civil investment- and business-related private party legal actions and arbitrations

Publications & Events

Department of Treasury Suspends Enforcement of CTA Against Domestic Reporting Entities and U.S. Citizens; New Rules Coming
03.04.2025

News

Conner & Winters Elevates Langley, Mizell and White to Partner
01.23.2024

30th Edition of Best Lawyers® Recognizes 67 Attorneys from Conner & Winters
08.18.2023

Conner & Winters Strengthens M&A Practice with Robert White Addition in Dallas
08.08.2023