

# Securities & Investment Companies

## Overview

Carlton Fields serves the securities industry's regulatory, enforcement, litigation, corporate finance, and other corporate and transactional needs. We have a strong national practice, serving the broker-dealer, investment adviser, and investment company components of the securities industry.

Our attorneys advise clients in all aspects of their securities-related businesses. We work closely with client management, compliance, technical, and administrative staff to address and resolve compliance issues in both litigation and transactional matters.

Our attorneys represent clients in investigations brought by the Securities and Exchange Commission, FINRA, the stock exchanges, securities regulators in 50 states, and other regulatory agencies.

Our attorneys are experienced with diverse, cutting-edge issues that arise from the securities business, including Regulation Best Interest, ESG, information security and resiliency, and crypto assets and emerging technologies. We excel in applying securities laws to the sale and distribution of all financial products, and counsel clients on the most complex and challenging issues facing the industry.

We serve our clients with an integrated approach that draws on the collective experience of our business, regulatory, and litigation attorneys. These attorneys, who include numerous former SEC and FINRA officials, have worked both in and for the securities industry, giving us an insider's perspective and a regulators' perspective on business practices in the industry.

In addition, our attorneys are very active in the American Bar Association, state bar associations, and various industry groups. We lecture and write extensively on securities, corporate, insurance, tax, and other matters. As a result, our advice on individual issues often contributes to the client's broader business, regulatory, and litigation goals.

Our general services to the industry include:

- [Securities Industry Counseling](#)

- SEC Enforcement
- Securities Transactions and Compliance
- Mergers and Acquisitions
- SEC Reporting
- Public and Private Offerings
- Private Equity and Venture Capital
- FINRA Enforcement
- Broker-Dealer Registration, Regulation, and Compliance
- Broker-Dealer Arbitrations and Appeals

We also handle the latest regulatory challenges:

- Regulation Best Interest/Fiduciary Standard
- Environmental, Social, and Governance (ESG) Issues
- Information Security and Resiliency
- Crypto Assets and Emerging Technologies

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02.17.2012

CFTC Expands Regulation of Investment Companies

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- Securities Transactions and Compliance
- Tax
- White Collar Crime & Government Investigations
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- Business Transactions
- Technology & Intellectual Property Transactions
- Litigation and Trials
- Telecommunications
- False Claims Act, Qui Tam, and Whistleblower Defense
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- Telecom: Litigation and Arbitration
- Telecom: Transactions
- Blockchain and Digital Currency
- International Privacy Compliance
- Class Actions
- Cannabis Law

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- Life, Annuity, and Retirement Solutions
- Insurance
- Life, Annuity, and Retirement Solutions
- Telecommunications

## Events

**FINRA Arbitration, Enforcement, and Compliance Regional CLE Program**

02.23.2024

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