

Securities Regulation and Enforcement Law

HFM's Securities Regulation and Enforcement Group counsels and defends clients involved in all aspects of the securities landscape, from major Wall Street firms and leading brokerage houses to start-up entities and smaller fintech companies. We defend our clients in investigations by the SEC, FINRA, NYSE, and other state and federal regulatory agencies. We assist clients during regulatory examinations and conduct internal investigations into sensitive matters, such as employment and harassment disputes, insider trading issues, and ethics violations. We regularly advise our clients on a wide range of complex securities compliance and financial advisory matters, including new and continuing membership applications, FINRA Rule 4530, trade algorithm practices, sales practice issues, and acquiring or disposing of regulated entities. We are a trusted resource for broker-dealers, investment advisors, General Counsels, and directors and officers of financial services companies.



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