



KEVIN L. WHEELER

Kevin Wheeler is an experienced corporate attorney with an extensive background in compliance, privacy and data protection, intellectual property and litigation matters.

For the past seven years, Mr. Wheeler has been in-house General Counsel advising C-suite executives in three different financial services firms on all legal and regulatory issues. In his capacity as General Counsel, Mr. Wheeler became a leader in helping executives and their support teams meet the challenges in the complexities of the new regulations coming out of the SEC, FINRA, CFPB and other federal and state agencies. He navigated through regulations in the areas of money movement, privacy, AML/fraud, and sales practice violations. Additionally, he managed their enforcement and litigation matters.

Mr. Wheeler serves as a leader and indispensable resource for fintechs, broker dealers, RIAs and financial institutions. Specifically, his expertise covers corporate structure matters, regulatory exams, investigations and enforcement matters, data protection, payment processing, and securities arbitration and litigation. He also provides advice to businesses on the California Consumer Privacy Act (CCPA), employment wage and hour matters, and represents parties in complex litigation matters.

Mr. Wheeler holds a Series 7 securities license and counsels financial services companies with sales practice issues, FINRA Rule 4530 matters, U4/U5 disclosures, developing effective written supervisory procedures, and trade reporting (OATS/CAT) matters.

PRACTICE GROUPS

- ▶ Business Litigation
- ▶ Employment
- ▶ Privacy & Information Security
- ▶ Securities Regulation & Enforcement

EDUCATION

- ▶ J.D., University of San Diego, School of Law (2000)
- ▶ B.S, Chemistry, Cal Poly Pomona (1993)

ADMITTED TO PRACTICE

- ▶ California

SECURITIES LICENSES

- ▶ Series 7

AFFILIATIONS

- ▶ State Bar of California
- ▶ San Diego County Bar Association