



Broker Dealer and Investment Banking

Denver, Colorado is home to the regional offices of many broker dealer firms and a headquarters city to a number of local and regional firms that provide broker dealer and investment banking services. For many years, we have represented a number of these firms as general or regional counsel. We have provided the full complement of legal services needed in the formation, operation, registration, and compliance of broker dealers in the securities regulatory schemes of the federal securities laws, most notably the Securities Act of 1933 and the Securities Exchange Act of 1934, and comparable laws of the states where our clients do business.

We also represent the officers, directors, shareholders, managers, administrators, and employers of these firms. Most recently, for example, we have involved ourselves with understanding and advising our broker dealer clients regarding the relevant aspects of federal Dodd Frank financial reform. We are knowledgeable about relationships of investment advisers with broker dealers and other securities law professionals and with regulatory organizations such as FINRA and the MSRB.

We believe that our decades-long commitment to serving and to learning about the business side of the financial services industry has helped us to develop wide and deep relationships with brokerage firms around the country, relationships which often make us uniquely qualified to help work through business situations to the benefit of our clients.

Our investment advisory team brings together lawyers with diverse experience covering

- Public offerings and private placement of registered and exempt securities
- Equity investing, underwriting and finance
- Labor and employment law
- Securities regulatory and trade practice compliance
- Litigation, arbitration, mediation, and related dispute resolution techniques
- Partnership, limited liability company, and corporate law
- Contract negotiation
- Federal and state tax law
- Business acquisitions and divestitures
- Banking business and regulatory law