

# 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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Treasury Department Urges SEC to Act on Life Company Products

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09.26.2017

SEC Cautions on Use of Distributed Ledger/Blockchain Technology to Raise Capital

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09.26.2017

Communications With Auditors and Audit Committees May Change

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09.26.2017

Nevada Securities Act Amendments – What's Next?

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SEC Stays Approval of Quadruple-Leveraged ETF

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09.26.2017

A Ticking Clock: New York's Pending Non-Guaranteed Elements Rule for Life Insurance and Annuity Products

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09.26.2017

SEC Scrutinizes Multi-Manager Arrangements

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09.26.2017

Pennsylvania Court Holds Fiduciary Duty Exists Only Where Consumer Cedes Decision-Making Control to the Fiduciary

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09.26.2017

Certified Financial Planner Board Proposes Fiduciary Obligations for All CFP Financial Advice

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09.26.2017

SEC Investor Advocate's 2018 Objectives Target Key Issues for Life Insurers

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NAIC Cybersecurity Working Group Votes to Approve Insurance Data Security Model Law

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06.23.2017

Special Purpose National Bank Charter for FINTECH Firms

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06.23.2017

The DOL Fiduciary Rule: Charting a Course, Avoiding Collisions & Potential Litigation

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04.10.2017

FINRA Fines Firms for WORM Problems

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04.10.2017

SEC Staff Allows Brokers to Set Commissions for Mutual Fund "Clean Shares"

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04.10.2017

SEC Adopts T+2 Securities Settlement Cycle

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SEC Approves FINRA Efforts to Protect Seniors and Other Vulnerable Persons

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09.14.2015

Cyber Caremark: Protecting Your Board from Shareholder Derivative Litigation After a Data Loss Event

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01.01.2014

Distribution of Securities Products of Insurance Companies: Recent SEC and FINRA Pronouncements on Advertising, Social Media, and Suitability

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CFTC Expands Regulation of Investment Companies

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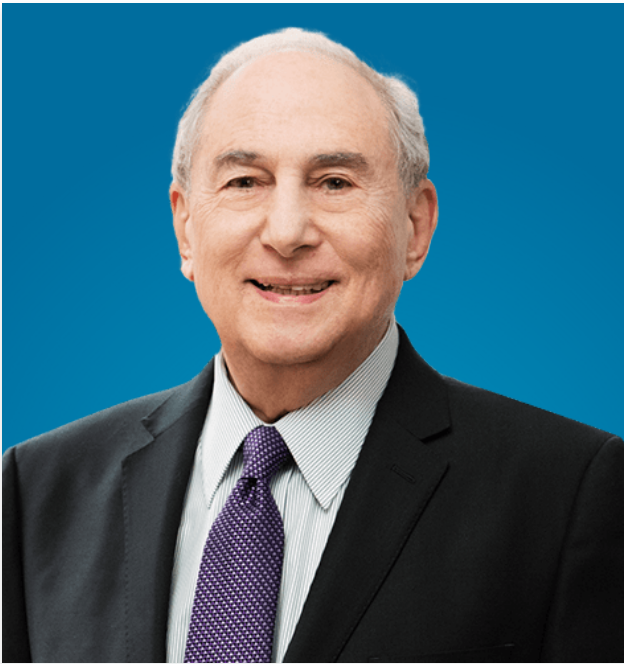
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## Related Capabilities

### Practices

- Corporate Law and Governance
- Cybersecurity and Privacy
- Financial Services Regulatory
- Intellectual Property
- Labor & Employment
- Life, Annuity, and Retirement Litigation
- Private Equity and Venture Capital
- Public and Private Offerings

### Industries

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

- Public-Private Partnerships
- Securities Litigation and Enforcement
- SEC Enforcement
- Securities Transactions and Compliance
- Tax
- White Collar Crime & Government Investigations
- Insurance
- Life, Annuity, and Retirement Solutions
- Internal Investigations
- Business Transactions
- Technology & Intellectual Property Transactions
- Litigation and Trials
- Telecommunications
- False Claims Act, Qui Tam, and Whistleblower Defense
- International: Mexico
- Telecom: Litigation and Arbitration
- Telecom: Transactions
- Blockchain and Digital Currency
- International Privacy Compliance
- Class Actions
- Cannabis Law

## Events

02.23.2024

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