



# FINANCIAL INSTITUTION REGULATION AND DISPUTES

**With a former regulator at the helm, our practice provides sophisticated, practical and innovative legal counsel to financial institutions navigating the complex and ever-evolving regulatory landscape.**

Bell Nunnally guides broker-dealers, investment advisers, fund sponsors and investors through the full spectrum of regulatory scrutiny and financial-services disputes. Our attorneys have represented some of the industry's largest financial industry participants while also serving mid-sized firms, independent platforms and emerging FinTech innovators.

- **Regulatory Investigations and Enforcement**

Our lawyers appear before the SEC, FINRA, the CFTC and state securities authorities in investigations, enforcement actions and disciplinary proceedings. We handle matters involving sales practices and supervision, trading activity, registration and reporting, anti-money-laundering compliance, client disclosures, and the accuracy of customer-facing materials. In addition to representing financial institutions, we represent officers, directors, partners, and registered representatives and other individuals when their participation in an investigation is requested by regulators.

- **Financial Institution Mergers and Acquisitions**

We advise financial institutions and their owners and management in transactions involving regulatory compliance in the purchase or sale of registered entities, including broker-dealers and investment advisors.

- **Internal Reviews and Compliance Counseling**

Whether responding to a whistleblower complaint or assessing potential self-reporting duties, we conduct thorough internal investigations that equip clients to manage risk, satisfy regulators and strengthen compliance programs.

- **Securities Litigation and Arbitration**

Bell Nunnally has built a reputation as a litigation powerhouse when it comes to representing financial-services firms in court and arbitration. We represent broker-dealers, investment banks, advisers, funds and their sponsors, and other market participants in claims under federal and state securities laws. We also represent clients asserting common-law theories, such as breach of fiduciary duty and breach of contract. We defend private class actions, individual suits and regulator litigation in various forums, including trying such matters to final conclusion in FINRA arbitration and disciplinary proceedings, as well as in federal and state courts.

- **Blockchain and Digital Assets**

Our lawyers have extensive experience relating to blockchain and digital assets, both from a regulatory perspective and in litigation. We advise broker-dealers and their affiliates on the incorporation of digital assets on their platforms, analyze specific assets to advise regarding compliance with the federal securities laws, and investigate and prosecute claims relating to misrepresentations in offerings related to digital assets and data center disputes.

Across every engagement, our mission is clear: deliver practical, business-oriented solutions that protect our clients' reputations and advance their strategic objectives.

## Related Practices

---

Litigation

## Related Industries

---

Broker/Dealer and Securities  
Financial Services

## Related Attorneys

---

R. Heath Cheek  
Jonathan Farrokhnia  
John F. Guild  
Benjamin L. Riemer