

Overview

The global movement of capital and the internationalization of clients have converged with rapid and complex changes in securities regulation across the globe. As a securities industry participant, it is critical to your business success to ensure that your operations and personnel meet ever-changing regulatory requirements related to clients, products, disclosure and training.

At Dentons, our global experience of working with broker-dealer clients and other financial services companies, as well as our relationships with key regulators, allows us to guide you through the myriad regulatory requirements that impact your businesses on a local, regional, national and international scale—today and in the future.

Whether you are planning a new business venture or are an established financial services company, our lawyers will work with you and your teams to ensure that your operations are in compliance with the regulations applicable to it across the globe—allowing you to focus on your business success.

Our lawyers can help you with:

- Initial and ongoing registration of your firm and its representatives
- Developing and implementing compliance policies and procedures
- Compliance with securities and financial services regulations, including SEC, FINRA, FSA and the Canadian securities regulatory regime for broker-dealer registration
- Staff training and education
- Compliance audits
- Regulatory investigations and enforcement proceedings