KAUFMAN DOLOWICH LLP

Compliance Reviews

Helping Financial Services Clients Comply wit

The attorneys of Kaufman Dolowich's Financial Services Practice operating throughout the financial services industry. Our lawyer and other financial professionals in a wide range of legal and r practitioners, who focus on finding practical solutions that bes

Our legal team is well-versed in the full range of federal laws including FINRA conduct rules, SEC rules and the new Department clients on compliance matters involving state laws and regulatio Dolowich attorneys represent financial services institutions and enforcement proceedings and other lawsuits nationwide.

Our firm's Financial Services Practice includes former regulator experience working in-house for a broker-dealer. Our clients tru our clients language and work with them to develop compliance s

Internal Compliance Reviews

Kaufman Dolowich attorneys routinely work with clients to review proactive approach to compliance matters and assist our clients fully compliant with federal and state laws and regulations. Our industry, helping our clients to stay ahead of evolving developm

Training and Seminars for Financial Services

Our attorneys regularly provide training and seminars to financi regulatory matters. Our on-site programs are tailored to the nee though highly regulated, has its unique mix of specialties and c federal and state requirements so they can adopt appropriate com

We understand that compliance in the financial services industry relationships with our clients by assisting them with their comp

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