



## **BROKER-DEALER AND INVESTMENT ADVISOR REGULATION**

### **Supply And Demand**

Barnes & Thornburg's securities and futures regulatory practice involves the representation of broker-dealers, investment advisers, commodity pool operators, commodity trading advisors, hedge fund managers and proprietary trading firms. Our attorneys handle a wide variety of matters for clients across the U.S.

We assist clients with the formation and structuring of their businesses, fund formation, required registrations, ongoing compliance obligations, and applying new and proposed regulations. Clients turn to us for guidance on the acquisition and disposition of their regulated businesses, preparing documentation for derivative transactions and employment-related matters. We also defend clients in connection with regulatory examinations and investigations; enforcement actions filed by regulatory agencies, including the SEC, CFTC, state securities regulators, national securities exchanges and self-regulatory organizations; and in securities related litigation. We also assist our clients protect their intellectual property rights to their proprietary trading strategies and systems.

### **Practice Leaders**

### **Why Barnes & Thornburg?**

Finding new ways to help clients identify solutions and new business opportunities, across industries, is at our core. We are, at times, more than lawyers, we are advisers bringing new ideas to light. We understand what keeps you up at night and work collaboratively to find practical and creative solutions, at the heart of business.

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