

## Financial Services

Securities and investment-related organizations of all types — from the largest banking and wealth management firms, to mid-sized market-makers and institutional trading firms, to fintech start-ups and local credit unions — all deal with the highly complex task of complying with financial regulations while managing their business in an increasingly competitive environment.

Foster Garvey attorneys are well-qualified to provide the transactional, regulatory and litigation support and counseling that today's financial services firms require. Our clients have included major brokerage houses, FINRA, NYSE and AMEX member firms, institutional and electronic trading firms, specialty and niche market brokerages, and investment advisory and asset management firms. Our attorneys also have extensive experience representing a variety of non-bank lenders, including pension plans, life insurance companies, mortgage companies and conduits.

The firm's additional experience in [Creditors' Rights & Bankruptcy](#), [Business & Corporate Finance](#), [Real Estate](#), [Land Use & Environmental](#), and [Litigation](#) position us well to assist in a wide range of legal services directly related to financial institutions.

Some of the key services we provide to financial institutions include:

- Capital formation/securities
- Corporate governance
- Debt restructuring and workouts
- Director representation and defense advocacy
- Employment and labor relations
- Executive compensation and employee benefit plans
- FDIC-assisted transactions

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- Lending
- Litigation and dispute resolution
- Merger and branch acquisition
- New bank organization
- Real estate matters
- Regulatory compliance
- Secondary market activities/residential mortgages
- Strategic planning
- Tax-advantaged financing
- Taxation
- Troubled institutions and 363 sales

**Related Services**

Commercial & Real Estate  
Finance

Creditors' Rights &  
Bankruptcy

Employee Benefits &  
Executive Compensation

Insurance Coverage

Labor, Employment &  
Immigration

Real Estate

Securities & Finance

Securities Litigation &  
Enforcement

Tax