

Daniel Spungen

Indianapolis, IN

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SENIOR COUNSEL

Overview

Daniel's greatest strength is understanding both the business and legal needs of his clients. Daniel studied finance and economics prior to starting his legal career and continued to focus on the business world throughout law school, which gives him the advantage of business acumen to accompany his legal skills. He strives to provide effective guidance and serve as a trusted partner to his clients.

As a member of the firm's Banking & Finance and Corporate Service Groups, Daniel provides legal guidance with a business perspective in mind. He primarily represents public and private corporations, start-ups and small businesses, banks, and financial institutions. Daniel is experienced in working on regulatory issues, corporate governance, mergers and acquisitions, state blue sky laws, the Securities Acts of '33 and '34, and general counsel services. He has represented both buyers and sellers in asset and stock purchase deals, ensuring that his clients goals are met in the transaction. As a Certified Securities Compliance Professional (CSCP), Daniel is equipped to advise state- and SEC-registered investment advisers and broker-dealers on regulatory and compliance issues under the Investment Advisers Act of 1940 and FINRA rules.

Daniel gets great satisfaction from helping his clients achieve their goals, whether it involves bringing on new investors through a private placement or other securities offering, growing their business through a merger or acquisition, or selling their business to move onto other ventures. His goal is to make sure his clients' needs are met and prevent potential problems down the road. Prior to joining the firm, Daniel worked as the Chief Deputy Securities Commissioner for the Indiana Secretary of State and oversaw the regulation of the securities industry in Indiana.

Experience

Oversaw the Entire Securities Registrations Department for the State of Indiana

SERVICES

- Banking & Finance
- Corporate & Securities
- Corporate Governance
- Mergers & Acquisitions
- Money Management/
Investment Adviser
- Outside General Counsel
- Securities & Capital Markets
- Securities Enforcement

EDUCATION

- Indiana University Robert H. McKinney School of Law, J.D., 2015, *magna cum laude*
- Indiana University Kelly School of Business, B.S., 2010
- Certified Securities Compliance Professional (CSCP)

ADMISSIONS

- Indiana

Represented the State of Indiana by Serving on Both the Business Organizations and Accounting Principles Project Group and the Electronic Filing Depository Committee

Prepared an Intrastate Securities Offering on Behalf of a 501(c)(3) Organization to Secure Funding for the Nonprofit

Represented a Publicly Traded Financial Institution in a \$7.5 Million Tender Offer to Repurchase its Outstanding Shares

Membership & Involvement

Member: Midwest Business Brokers & Intermediaries; Indiana Bankers Association

Honors

- Selected to the Indiana Super Lawyers "Rising Stars" list: 2024
- Selected to *The Best Lawyers in America*® in Banking and Finance Law: 2024

Firm News

Congratulations to the Amundsen Davis Attorneys Included on the 2024 Indiana Super Lawyers and Rising Stars Lists
Firm News, February 28, 2024

92 Amundsen Davis Attorneys Recognized by Best Lawyers® in 2024 in America
Firm News, August 17, 2023

Amundsen Davis Welcomes Daniel Spungen as Senior Counsel in Indianapolis
October 20, 2021

Alerts

How Financial Institutions Should Handle "Sovereign Citizens"

Insights from the OCC Semiannual Risk Perspective

BlockFi Settlement: A New Era in Crypto Regulation?

Speaking Engagements

The Most Valuable Asset: Overcoming Employee Related Hurdles to Close a Deal
Speaking Engagement, Midwest Business Brokers and Intermediaries, Seminar;
Fishers, IN, August 24, 2023

Daniel
Spungen

Blog Posts

U.S. Supreme Court: "Pure" Omissions Are Not Actionable Under Rule 10b-5
Corporate News: A Legal Update, April 16, 2024

Impact of the SEC's 2024 Examination Priorities Report for Investment Advisers
Corporate News: A Legal Update, March 21, 2024

Calming Depositor Angst at Community Banks
Corporate News: A Legal Update, April 17, 2023

Private Placement – State and Federal Law Considerations
Corporate News: A Legal Update, February 1, 2023

What the SEC's New Strategic Plan Means for the Financial Industry and Investors
Corporate News: A Legal Update, September 7, 2022

Contract Drafting During Historic Inflation Increases
Corporate News: A Legal Update, April 15, 2022

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