

## Services & Industries

# Financial Services Regulation

## OVERVIEW

Our attorneys enjoy and continue to earn a long-standing reputation as go-to attorneys for significant financial institution regulatory and transactional issues. We bring financial institution clients extensive experience, not only with the federal and state legal and regulatory frameworks within which they operate, but also with the applicable regulatory bodies and agencies. Our Financial Services Regulatory practice covers the range of transactional, regulatory and compliance issues that financial institutions confront on a daily basis. Clients include commercial banks, thrift institutions, trust companies, credit unions, holding companies, mortgage companies, mortgage servicers, automobile lenders and credit card companies.

Some of the many areas in which we provide advice to financial institutions include merger and acquisition transactional services; capital-raising; securities law reporting; regulatory advice; enforcement proceedings before state and federal regulatory agencies; holding company and affiliate issues; corporate governance, including compliance with Sarbanes-Oxley; and e-commerce and Internet issues.

## INSIGHTS

### **Spokeo, Inc. v. Robins: An Underutilized Defense Against Claims Brought Under Federal Consumer Finance Statutes**

September 29, 2020

Day Pitney Attorneys Alfred Marks and Michael Lane co-authored an article, "*Spokeo, Inc. v. Robins: An Underutilized Defense Against Claims Brought Under Federal Consumer Finance Statutes*," for *The Banking Law Journal*.

### **COVID-19 Temporary Relief: New York-Regulated Banks Required to Grant 90-Day Forbearances for Some Borrowers**

March 25, 2020

*Day Pitney Alert*

### **Goodbye, DOL Fiduciary Rule, and Hello, SEC Standards of Conduct?**

May 1, 2018

*Day Pitney Alert*

### **Is America the new Switzerland?**

July 1, 2016

On June 30-July 1 Warren Whitaker spoke at **STEP Global Congress 2016: Advising Families Across Generations** in Amsterdam on "Is America the new Switzerland?"

### **Red Flags 2015: Broker-Dealer and Investment Adviser Hot Topics**

November 5, 2015

## **NEWS**

### **Day Pitney, ICSGroup and CohnReznick Sponsor Private Investment Fund Seminar**

December 7, 2017

On December 7, Day Pitney, ICSGroup and CohnReznick co-sponsored "Launching a Private Fund: What You Need to Know."

### **Day Pitney Advises Independent Bank Corp. in \$24.5 Million Acquisition of Island Bancorp, Inc.**

October 21, 2016

*Day Pitney Press Release*

### **FINRA's Capital Acquisition Broker Rules Face Tough Sell**

September 12, 2016

Eliza Fromberg was quoted in an article, "FINRA's Capital Acquisition Broker Rules Face Tough Sell," in *Law360*.

### **Introduction of Regulation Crowdfunding**

July 20, 2016

Eliza Fromberg was quoted in an article, "Introduction of Regulation Crowdfunding" in *Financier Worldwide Magazine*.

### **68 Day Pitney Lawyers Named to 2016 Best Lawyers List**

August 24, 2015

**Stamford, Conn., August 24, 2015** - Day Pitney is pleased to announce that 68 attorneys have been

selected for inclusion in the 2016 Best Lawyers in America. Best Lawyers ranks lawyers through peer-review surveys, and has been published annually since 1983.