

## FINANCIAL SERVICES CORPORATE & REGULATORY TEAM

### OVERVIEW

Our attorneys focus on financial institutions on a daily basis and work to know your business, management team, competitors, market, regulators, customers, employees, and community. With our industry-specific focus and our years in the field, we are known and respected by banks, outside counsel at other firms and regulators across the country.

Our team focuses on acquisitions and sales, as well as corporate governance, regulatory, compliance and securities matters for more than 300 financial institution clients. In addition, we have a large number of attorneys in our firm who regularly provide litigation, lending, work-out, bankruptcy, employment law, employee benefits, fintech investment, emerging payments and prepaid cards, environmental, intellectual property, tax, technology and outsourcing, fiduciary law (including personal estate planning for bankers), real estate and REITs, white collar crime and similar legal advice for our financial institution clients. We enjoy being able to say that whatever problem a banker may have, we have a lawyer who has worked on a similar problem for a banker.

Our broad experience, coupled with our innovative solutions and our long standing ties to regulators, trade associations and service providers, make us invaluable assets to our clients who seek counsel for the following types of matters, among others:

- Mergers, Acquisitions & Sales
- Charter Conversions and Consolidations
- Corporate Governance
- Securities Offerings & Reporting
- Employee Benefits & Executive Compensation
- D&O Insurance and Risk Management
- Financial Institutions Litigation
- Lending
- Holding Companies

- Insurance & Other Financial Services
- Labor & Employment
- Investments in FinTech
- Development and Licensing of FinTech
- Emerging Payments & Prepaid Cards
- Emerging Technologies
- Workouts & Financial Restructuring

Our team, which includes former in-house counsel at major financial institutions, understands the variety of risk considerations involved in consumer regulatory enforcement. We work to achieve matter resolutions that meet both our clients' short term needs and broader strategic goals.

## HOW WE HAVE HELPED CLIENTS

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## MEET THE TEAM



### **James J. McAlpin Jr.**

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## RELATED PRACTICE AREAS

- Payment Systems

## AREAS OF FOCUS

- Community Banking Litigation
- De Novo Banking
- Going Private
- Subchapter S

- Wealth Management
- Workouts & Financial Restructuring

## RELATED INSIGHTS

Insights

Apr 25, 2024

### **FinCEN updates CTA FAQs for the first time in three months**

Insights

Feb 23, 2024

### **FinCEN proposes AML/CFT rules for investment advisers**

Events

Jan 25, 2024

### **Katherine Cooper presents at ABA's Derivatives and Futures Law 2024 Winter Committee Meeting**

Insights

Dec 05, 2023

### **Deadlines fast approaching for Corporate Transparency Act compliance**

News

Nov 10, 2023

### **BCLP names global group to partnership**

Insights

Nov 10, 2023

### **Disputes in Focus: Quick Q&A on International Disputes - Important Points to Note**

According to data released by the Ministry of Justice 63% of cases listed in 2022 and 69% of cases listed in Q1/Q2 2023 in the Commercial Court involved at least one non-UK registered party. Despite the increasing frequency of such litigation, issues which arise specifically in the context of international litigation can often catch litigants by surprise. In this blog, Clare Reeve Curatola outlines some of the challenges and, she asks her Litigation and Investigations colleague, Associate Megan Applegarth, about her recent experience of managing these challenges. Megan provides examples of key issues that can arise when parallel proceedings are ongoing in different jurisdictions. Short on time? Jump to our summary of issues in international disputes.

Insights

Nov 07, 2023

### **Disputes in Focus: Quick Q&A on Legal Privilege in Group Litigation**

Legal professional privilege is a key issue in any litigation or investigation and each year the courts determine many disputes over its application. It can become less straightforward to manage and protect in multi-party or group proceedings. In this blog, Clare Reeve Curatola provides a brief summary of legal privilege and the rules about sharing privileged material under English law. And, she asks fellow Litigation and Investigations partner, Ravi Nayer, about his recent experience of grappling with issues of legal privilege where there are multiple different

parties involved in a dispute and in the context of group actions in the High Court. Short on time? Jump to our key takeaways.

Insights

Oct 31, 2023

## **Disputes in Focus: Quick Q&A on group claims**

There are various ways in the English High Court to bring a claim, including as a group or representative action. Historically they have been underused but that is changing. Businesses are becoming increasingly interested in this ability to bring group actions and mass claims in the English High Court. In this blog, Clare Reeve Curatola outlines different ways to bring a civil commercial claim in the English High Court and asks fellow Litigation and Investigations partner, Ben Blacklock, to share his insights into the changing approach to group or class actions and mass claims in the English courts. Ben shares his thoughts on the key developments and changes that may be driving an increase in group actions, the challenges and the important considerations for Claimants and Defendants to consider in this area. Short on time? Jump to our key considerations.

Insights

Oct 26, 2023

## **Disputes in Focus: Quick Q&A on Civil Restraint Orders**

Commercial disputes between individuals and/or companies often involve complex issues and debate. Sometimes, however, a claim is made without any legal and/or factual basis and, despite best efforts, the claimant is persistent in pursuing it. This can lead to the defendant incurring significant unnecessary wasted time and costs. In this blog, Clare Reeve Curatola outlines what Civil Restraint Orders are and how they can be used in commercial litigation when a company is facing persistent unfounded claims. Clare asks her Litigation and Investigations colleague, Associate Megan Smith, about her recent experience and she offers some great tips on how companies can mitigate risk and address vexatious litigants. Short on time? Jump to our top tips for responding to vexatious or meritless claims.