

JEFFREY J. KALINOWSKI

Partner

St. Louis

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BIOGRAPHY

Jeff has represented broker-dealers, investment advisers and individual securities industry professionals for more than 35 years. He has tried well in excess of 100 securities industry related jury trials, bench trials and arbitrations in a variety of venues throughout the United States. Jeff also has extensive experience handling complex regulatory matters involving the SEC, FINRA and state regulatory authorities.

Jeff's approach is to evaluate customer disputes, industry disputes and regulatory investigations from a business perspective taking into account not only out of pocket costs, but potential collateral consequences, including internal disruption, impact on customers, regulatory fallout, public relations issues and precedential impact. This approach has allowed Jeff to develop long-term client relationships with a number of broker-dealers.

CIVIC INVOLVEMENT & HONORS

- Nerinx Hall, Chair, Advancement Committee; Board Member
- Voted as a 2006-2017 *Missouri "Super Lawyer"* in the area of Securities Litigation Law
- Listed in *The Best Lawyers in America*® in the area of Business Litigation Law, 2005-2008, and in Commercial Litigation, 2009-2013; St. Louis Lawyer of the Year - Litigation-Securities, 2015
- Voted as a 2007-2012 *Kansas "Super Lawyer"* in the area of Securities Litigation Law
- Listed in the 2010-2013 editions of *Benchmark Litigation* as a "Local Litigation Star"
- Selected as a 2013 "BTI Client Service All-Star"

PROFESSIONAL AFFILIATIONS

- American Bar Association, Securities Committee of Litigation section; Business Torts Committee of Litigation section
- Bar Association of Metropolitan St. Louis, Securities Law Committee
- The Missouri Bar
- Securities Industry and Financial Markets Association

ADMISSIONS

- Missouri, 1979
- United States District Court for the Eastern District of Missouri

EDUCATION

University of Illinois, J.D., *cum laude*, 1979

University of Missouri-Columbia, A.B., *summa cum laude*, 1976

RELATED PRACTICE AREAS

- Securities Litigation and Enforcement
- Broker-Dealer and Investment Advisor Regulatory Enforcement, Disputes and Investigations

- Finance
- Investigations
- Litigation & Dispute Resolution
- Regulation, Compliance & Advisory
- Financial Services
- Anti-Money Laundering Compliance
- Business & Commercial Disputes

RESOURCES

PUBLICATIONS

- Co-Author, "Survey of the Law for Insurance Counsel," University of Missouri at Columbia School of Law
- Co-Author, "Missouri CLE Civil Procedure Desk Book," *Rules 55.21-55.33*

SPEAKING ENGAGEMENTS

- Panel Member, "Enhancing Your Product Compliance Knowledge," National Society of Compliance Professionals National Conference, Washington DC, October 2016
- Panel Member, Bryan Cave Regulatory and Compliance Roundtable, Minneapolis, September 2016
- Panel Member, Bryan Cave Regulatory and Compliance Roundtable, Minneapolis, May 2015
- Panel Member, "Dealing with Examinations: Preventing and Preparing for Enforcement," SIFMA Compliance and Legal Annual Seminar, Phoenix, March 2015
- Panel Member, Bryan Cave Regulatory and Compliance Roundtable, Minneapolis, April 2014
- Panel Member, "Recruiting Securities Industry Professionals," SIFMA Compliance and Legal Annual Seminar, Orlando, April 2014
- Panel Member, "Trends in Litigation/Arbitration," SIFMA Compliance and Legal Society Seminar, St. Louis, June 2012
- Panel Member, "Legal Changes in a Changing Landscape," SIFMA Compliance and Legal Division Regional Seminar, St. Louis, 2009

- Panel Member, “Issues for the Small Broker-Dealer,” Securities Industry Association Law & Compliance Annual Seminar, April 2003
- Presenter, “Nuts and Bolts of Securities Arbitrations,” Bar Association of Metropolitan St. Louis, February 2002

RELATED INSIGHTS

Awards

Aug 17, 2023

The Best Lawyers in America® 2024

Awards

Jun 08, 2023

Legal 500 US 2023

Events

May 09, 2023

BCLP Hosts 11th Annual Regulatory Roundtable

Events

Sep 14, 2022

BCLP hosts 10th annual Regulatory Roundtable

Awards

Aug 18, 2022

The Best Lawyers in America© 2023

Insights

Jun 06, 2022

The SEC’s Continued Efforts to Dive Feet First into Climate Control and ESG Initiatives

On May 25, 2022, the U.S. Securities and Exchange Commission (“SEC”) provided notice of proposed rulemaking aimed at Investment Advisers (“Advisers”), Investment Companies and Business Development Companies (collectively “Funds”) that market themselves as incorporating environmental, social and governance (“ESG”) factors into their investment selection process or overall investment strategies. The public comment period will be open for 60 days following the SEC’s announcement. The proposed rules seek to standardize the categorization of ESG strategies and require Advisers and Funds to provide more specific disclosures in their fund prospectuses, annual reports, and brochures, as well as enhanced ESG reporting requirements on Forms N-CEN and ADV Part 1A, with the quantity of disclosures commensurate with the standardized categorizations. The SEC’s proposed rules follow a related announcem...

Insights

Mar 15, 2022

FINRA Requests Information from Member Firms Related to the Sale of Complex Products by May 9, 2022

On March 8, 2022, FINRA released Regulatory Notice 22-08 expressing continued concerns related to the sale of complex products and options (“complex products”) to retail investors. The expressed concerns include the following: Registered representatives often fail to understand the unique characteristics and risks presented by complex products; Member firms are not adequately training their registered representatives as to the characteristics and risks of complex products; Registered representatives and member firms often fail to fairly and adequately present complex products to retail customers; Customers often fail to possess the financial experience and acumen to understand the related characteristics and risks, particularly when investing in self-directed accounts; Member firms and their registered representatives are not conducting satisfactory suitability analyses and/or ensuring Regulation Best ...

Awards

Aug 19, 2021

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Insights

Jul 28, 2021

Heads Up! Your Form CRS Grace Period Has Ended: The SEC Drops the Hammer on 27 Firms for Compliance Failures with Form CRS Filing and Delivery Requirements