



JEFFREY A. ZIESMAN

Partner

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BIOGRAPHY

Jeff Ziesman assists financial institutions with regulatory matters brought by the SEC, FinCEN, FINRA and state securities regulators. With over 20 years of experience in the regulated entity space, first as a regulator and now defending regulated entities, Jeff brings an insider's perspective and practical approach to handling regulatory examinations, investigations and enforcement proceedings. He believes in long-term, active and enduring client relationships, and regularly provides clients with "preventive medicine" to keep from regulators' sights. In particular, Jeff has counseled clients on a review of their overall compliance programs, performed gap analysis and risk assessments, and assisted with an analysis of historical transactions review. Jeff's clients range from large global financial institutions with a global reach to mid-sized regional businesses.

Prior to re-joining BCLP in August 2011, Jeff was the Deputy Regional Chief Counsel for the Midwest Region of FINRA. In addition to that position, he was the Enforcement representative for

FINRA's Regulatory Disposition Group for Anti-Money Laundering (AML) cases. Jeff brought a number of ground-breaking Enforcement cases in the AML space, including several FINRA press release matters.

CIVIC INVOLVEMENT & HONORS

- *The Best Lawyers in America*, "Lawyer of the Year" (Litigation - Securities in Kansas City), 2022
- *The Best Lawyers in America*, (Litigation - Securities), 2017-2024

PROFESSIONAL AFFILIATIONS

- National Society of Compliance Professionals
- Securities Industry and Financial Markets Association
- Missouri Bar Association
- Iowa Bar Association

THE CORPORATE TRANSPARENCY ACT

CTA resource page

Use our resource page to keep up to date on FAQs, events, and analysis & insights on the Corporate Transparency Act.

CTA compliance tool

Many businesses are wondering if they need to comply with the CTA, and if so, whose data they may need to gather and when it should be first submitted and updated. Use our interactive CTA compliance tool to learn more about the nuts and bolts of the CTA.

ADMISSIONS

- Missouri, 1998
- United States Court of Appeals for the Eighth Circuit
United States District Courts for the District of Kansas and Western District of Missouri

EDUCATION

Drake University, J.D., with honors, 1992

University of Northern Iowa, B.A., 1990

RELATED PRACTICE AREAS

- Anti-Money Laundering Compliance
- Litigation & Dispute Resolution
- Investigations
- Regulation, Compliance & Advisory
- Finance
- Financial Services
- Broker-Dealer and Investment Advisor Regulatory Enforcement, Disputes and Investigations
- Securities Litigation and Enforcement

RESOURCES

PUBLICATIONS

- "Recent SEC action reminds investment advisers of importance of robust compliance program," *Journal of Investment Compliance*, Vol. 14, No. 3, 2013 (with Therese Pritchard and Jeff Kalinowski)

SPEAKING ENGAGEMENTS

- "Anti-Money Laundering (AML) & Bank Secrecy Act Issues," LawPracticeCLE Webinar, May 2, 2022
- "Anti-Money Laundering (AML) 101: What every attorney needs to know," MyLawCLE Webinar, September 10, 2021
- "Form ADV: Regulation BI Form CRS," ACA Compliance Group - Spring Conference, Webcast, May 13, 2020
- "Broker-Dealer Panel" and "Investment Adviser Panel," Cleveland Compliance Workshop for Broker-Dealers and Investment Advisers, Cleveland, OH, May 17, 2016
- "Enforcement Issues and Trends - Not a Clowning Matter," 2016 NSCP Spring Conference - Juggling Compliance Risks - Maintaining the Balance, Denver, CO, April 18, 2016

- "Forensic Testing for Small to Mid-Sized Advisers (Part 2)," July 28, 2015
- "Forensic Testing for Small to Mid-Sized Advisers," June 30, 2015
- "What You Need to Know About Consolidated Account Statements," 2015 FINRA Annual Conference, Washington, D.C., May 28, 2015
- "Enforcement Developments," 2014 FINRA South Region Compliance Seminar, Ft. Lauderdale, FL, November 20-21, 2014
- "Social Media and Advertising," 2012 Midwest Regional Meeting, The National Society of Compliance Professionals, April 2, 2012
- "The New BD Self-Reporting Rule: How to Decide When to Report," NRS 27th Spring Investment Adviser and Broker-Dealer Compliance Conference, May 16-18, 2012
- "Examination Priorities and Enforcement Trends (FINRA and SEC)," National Regulatory Services Fall 2011 Conference, Las Vegas, NV, October 26, 2011

RELATED INSIGHTS

Insights

Dec 05, 2023

Deadlines fast approaching for Corporate Transparency Act compliance

Insights

Sep 19, 2023

The Corporate Transparency Act

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

Insights

Nov 15, 2022

New federal anti-crime rule requires millions of businesses to report true ownership

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...