

Broker-Dealers & Investment Advisers

Becker represents a wide range of financial services firms engaged in securities brokerage services, investment banking and investment advisory services. We provide advice and counsel in all areas of operations, including formation and business development, compliance, corporate finance and securities litigation.

We regularly represent financial services firms and individuals in regulatory investigations and proceedings conducted by the federal and state securities agencies and self-regulatory organizations, as well as litigated matters including securities arbitrations.

We are the go-to Firm for successful registered representatives that seek to establish their own broker-dealer or investment advisory firm. We have guided numerous individual brokers in the transformation from registered representative to securities principal and firm owner.