

## ■ BROKERAGE AND BANKING COMPLIANCE PROGRAMS

Bracewell attorneys helps brokers, brokerage houses, banks and other financial institutions ensure compliance with the complex mix of state and federal regulations that govern their day-to-day operations. We regularly represent clients in their dealing with regulators, examiners and agencies in states across the country. At the federal level, we work closely with representatives of the Comptroller of the Currency, Federal Reserve Board, FDIC, Office of Thrift Supervision, SEC, FTC and the Department of Justice, among others. As banks and other lending institutions move into securities trading and other capital-market activities, we provide counsel regarding the rules, including licensing and transactional requirements, of the New York Stock Exchange, the NASDAQ and other self-regulatory bodies.

When enforcement actions arise, we balance an effective, aggressive defense with our clients' short- and long-term business goals, in order to achieve the most favorable resolutio