



Financial Services

For more than a century, Winston has been a trusted advisor and advocate to financial services clients around the world, advising them in some of their highest-stakes and most sensitive matters. Our multidisciplinary Financial Services Industry Group represents leading banks and financial services companies in a range of complex corporate and transactional matters; litigation and disputes; and regulatory, compliance, and enforcement matters.

In the U.S., we advise on compliance with federal and state laws and regulations, advocating our clients' interests in agency proceedings and policy deliberations, and ensuring the timely completion of acquisitions, mergers, and other transactions. Our Financial Services team represents U.S. and non-U.S. firms before federal and state regulatory agencies, legislatures, and courts, as well as before arbitration panels and international tribunals. Notably, our lawyers have actively participated in implementing the major U.S. legislation affecting financial firms over the last three decades, including the laws governing financial services integration, enhanced supervisory oversight, money laundering prevention, privacy, corporate governance, and financial and public reporting.

WHO WE REPRESENT

- Banks
- Broker-dealers
- Credit card companies
- Digital assets firms
- Direct/non-bank lenders
- Insurers
- Investment advisers
- Investment banks

- Money services businesses
- Mutual funds
- Payment processors
- Private equity funds
- Individuals
- Trust companies

Key Contacts

Kobi Brinson

Jordan Klein

Areas of Focus

Financial Services Corporate & Transactions

Our financial services corporate and transactional lawyers are grounded in the issues that financial institutions face worldwide and offer extensive experience assisting financial services firms with their corporate and transactional needs. From the formation of a new subsidiary or joint venture to the completion of a significant merger or acquisition, we are capable of handling transactions exceptionally and efficiently.

Financial Services Litigation

Our financial services litigators have a distinguished reputation for handling complex litigation involving consumer claims against financial institutions and for representing clients in government and internal investigations. We have defended financial services clients against claims brought under myriad consumer-protection statutes governing consumer transactions. We leverage our reputation as a trial lawyers' firm to help clients overcome bet-the-company litigation, resolve day-to-day business matters, and prepare for future threats.

[Learn More](#)

Financial Services Regulatory, Compliance, & Enforcement

We have a broad and established regulatory, compliance, and enforcement practice. We advise a wide range of financial services clients on federal and state supervisory examinations and in developing and implementing corrective action and remediation responses for numerous agencies, including, the Office of the Comptroller of the Currency (OCC), Consumer Financial Protection Bureau (CFPB), Federal Reserve Board (FRB), Federal Deposit Insurance Corporation (FDIC), Financial Crimes Enforcement Network (FinCEN), Treasury/ Office of Foreign Assets Control (OFAC), New York State Department of Financial Services (NYDFS), New Jersey Department of Banking and Insurance (NJDOBI), and Florida Office of Financial Regulation (FOFR).

Insurance

Our insurance lawyers provide insurance companies with best-in-class advice, corporate and transactional counsel, and, if need be, litigation defense in high-stakes coverage disputes and class actions. We have achieved excellent outcomes for our clients in matters involving a wide variety of insurance policies and claims, including cybersecurity, travel, long-term care, and annuities, among others. Moreover, we have experience in emerging issues and industries, such as blockchain technology and artificial intelligence, both of which present insurers with a unique and complicated set of risks and opportunities.

[Learn More](#)

Financial Crimes Compliance

Winston's financial crimes compliance lawyers have been providing Bank Secrecy Act (BSA), anti-money laundering (AML), and countering the financing of terrorism (CFT) regulatory compliance counseling and enforcement-related services for decades. We also have experience with international AML matters including in the EU and with respect to Financial Actions Task Force (FATF) recommendations.

[Learn More](#)

Related Capabilities

Antitrust/Competition

Appellate & Critical Motions

Bankruptcy Litigation & Investigations

Capital Markets

Class Actions & Group Litigation

Commercial Litigation & Disputes

Compliance Programs

Debt Finance

Derivatives & Structured Products

eDiscovery & Information Governance

Employee Benefits & Executive Compensation

Environmental, Social & Governance (ESG)

ERISA Litigation

Executive Compensation Plans & Agreements

Finance

Financial Services Litigation

Financial Services Transactions & Regulatory

Fund Finance

Private Investment Funds

Government Investigations, Enforcement & Compliance

Government Program Fraud, False Claims Act & Qui Tam Litigation

Intellectual Property

International Arbitration

International Trade

Labor & Employment

Litigation/Trials

Mergers & Acquisitions

Privacy & Data Security

Private Equity

Privacy: Regulated Personal Information (RPI)

Restructuring & Insolvency

Securities, M&A & Corporate Governance Litigation

Structured Finance

Tax

Transactions

Cryptocurrencies, Digital Assets & Blockchain Technology

FinTech & Payments

Insurance

European Disputes, Regulatory & Compliance

European Transactions

Latin America & Caribbean

Recent Experience

Mezzanine Loan of up to US\$218M

Good Pride Limited Term Loan Facility up to HK\$7M

Haitong UT Leasing HK Limited Extension of Loan Facility of US\$30M

Arthur J. Gallagher Acquisition of Clements Worldwide

Revelstoke Capital Partners Strategic Minority Investment From Bonaccord Capital Partners

Torrey Partners's Sale to Stifel Financial Corp.

BMO Harris Bank N.A.'s US\$100M Credit Facility for Q Biopharma Holdco, LLC

Hammond Hanlon Camp's Sale to Fifth Third Acquisition Holdings

Related Insights & News

WEBINAR

Playing the Dual Track

MAY 21, 2024

SPONSORSHIP

Winston & Strawn Sponsors SFNet's International Lending Conference 2024

MAY 13, 2024

NEWS

Marketing Rule Compliance Addressed in Recent SEC Risk Alert

MAY 8, 2024

CLIENT ALERT

Banks Operating in Florida Should Be Aware of New Florida Rule Before Closing Customer Accounts

MAY 7, 2024

IN THE MEDIA

Nicholas Rodriguez Discusses Current State of M&A Deal Activity on *Nasdaq TradeTalks*

APRIL 30, 2024

SPONSORSHIP

Winston & Strawn Sponsors Enterprise GC 2024 Conference

29-30, APRIL 2024

SPONSORSHIP

Winston & Strawn Sponsors, Attorneys Speak at FMA's 33rd Annual Securities Compliance Seminar

APRIL 17, 2024

SPEAKING ENGAGEMENT

Corporate Transparency Act's Impact on Banking: Ensuring Compliance; Interplay With Know Your Client Due Diligence Rules

APRIL 9, 2024

ARTICLE

How Private Funds Can Navigate New FinCEN Reporting Rules

MARCH 19, 2024

SPONSORSHIP

Winston & Strawn Sponsors, Attorneys Speak at FIBA AML Conference 2024

MARCH 18, 2024

BLOG

Come See Us Before We Come See You – DOJ Announces New Whistleblower Program Intensifying Corporate Enforcement Efforts

MARCH 14, 2024

SEMINAR/CLE

Winston and AIMA Host Workshop on Private Fund Focus on Regulatory Trends, Compliance Practices, and SEC Initiatives

MARCH 12, 2024