

Nathan W. Lamb

Partner



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Practices/Industries

- Broker-Dealer & Investment Litigation
- Financial Services Regulatory
- Securities & Commodities Litigation

Education

University of Iowa
(B.A., 1997)
Northwestern University
School of Law
(J.D., 2005)
Associate Editor,
Northwestern University Law Review

Overview

Nathan focuses his practice on securities-related litigation, Financial Industry Regulatory Authority (FINRA), the U.S. Securities & Exchange Commission (SEC), and state securities commission regulatory investigations and disputes.

Nathan defends brokers, broker-dealers, and investment advisors in FINRA arbitrations, SEC actions, and FINRA enforcement actions. His practice also involves advising clients on how to navigate the complex financial services regulatory environment. Nathan has been named to the Illinois Super Lawyers Rising Stars list.

Experience

- Defense of FINRA, SEC, and state investigations and enforcement actions involving allegations of sales practice violations, including unsuitable recommendations, churning, misrepresentations, unauthorized trading, and supervision.
- Defense of FINRA, SEC, and state investigations and enforcement actions involving anti-money laundering (AML), registration issues, net capital, Regulation S-P, and other non-sales practice issues.
- Defense of customer complaints and arbitrations of all varieties.
- Experience in a wide variety of products including, limited partnerships, private placements, TICs, DSTs, REITs, and traditional securities.
- Represent industry members in all levels of a broker-dealer or RIA when providing testimony on the record (OTR) before FINRA or the SEC.
- Provide counsel to members of the industry on how to properly respond to FINRA 8210 requests or SEC subpoenas.
- Advise clients on how to avoid Statutory Disqualification (SD) and assist them with the MC-400 application to seek re-admittance into the industry following a Statutory Disqualification.
- Assist broker-dealers with the structure of supervisory systems, drafting written supervisory procedures, filing membership applications, and creating general liaisons with securities regulators.

Presentations

- "Exception Reports Lab," National Society of Compliance Professionals, 2018 Spring Conference in Chicago (June 2018)
- "What Keeps FINRA Attorneys Up At Night," Ulmer, Financial Services & Securities Litigation Hot Topics (November 2017)
- "Oh no! Is that FINRA knocking on your door? Tips for Navigating a FINRA Investigation and Enforcement Action," Annual Ulmer Financial Services & Securities Litigation Client CLE Seminar (November 2016)

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Presentations (Cont)

- “2016 Compliance Outlook,” 2015 Chicago Broker-Dealer Compliance Breakfast Roundtable (November 2015)
- “PTI: Hot Topics from the U&B Broker-Dealer Blog,” Ulmer & Berne, Financial Services & Securities Litigation Hot Topics 2015 CLE (November 2015)
- “FINRA Compliance Trends,” Cetera Financial Group, Connect 2015 Conference (June 2015)
- “Diminished Capacity (and Other Regulatory Concerns When Working with Senior Investors),” Kalos Financial Sales & Compliance Conference (June 2015)

Involvement

Professional Affiliations

- Illinois State Bar Association

Honors & Distinctions

- Named to the Illinois Super Lawyers Rising Stars list (2013-2015)
- Named an “Emerging Lawyer” by the Law Bulletin Publishing Company (2016 - 2018)

Admissions

- State of Illinois
- U.S. District Court, Northern District of Illinois