

Heidi VonderHeide

Partner



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Practices/Industries

- Securities & Commodities Litigation
- Broker-Dealer & Investment Litigation

Education

Loyola University Chicago
(B.A., *cum laude*, 2004)

Loyola University Chicago
School of Law
(J.D., *magna cum laude*,
2007)

Overview

Heidi focuses her practice on representing financial institutions, investment advisers, and broker-dealers in litigation matters. Her securities practice involves handling both customer and industry disputes, as well as regulatory matters. She has defended clients in matters pending before FINRA, the SEC, and in state and federal courts.

Experience

- Defends individuals and entities in all stages of examinations, investigations, and administrative proceedings initiated by the Securities and Exchange Commission (“SEC”) including appeals to the Commission and/or federal courts.
- Defense of FINRA examinations or investigations, including representation at on-the-record (“OTR”) testimony, responding to 8210 requests, and handling the Wells process.
- Defense of FINRA Enforcement actions from inception through hearing and, if necessary, the appellate process.
- Advise clients on issues affecting membership and/or association including Statutory Disqualification (including Dodd-Frank implications), the MC-400 Application process, and the 1017 process.
- Defends clients in connection with examinations, investigations, or proceedings instituted by state securities regulators.
- Defends individuals and financial institutions against customer complaints of all varieties including disputes involving allegations of securities fraud, unsuitability, defamation, breach of fiduciary duty, fraud, negligence, overconcentration, and failure to supervise.
- Experience in a wide variety of products including, limited partnerships, private placements, TICs, DSTs, REITs, and traditional securities.
- Defense of FINRA and SEC Enforcement actions involving anti-money laundering (AML), registration issues, customer identification programs (CIP), net capital, and other non-sales practice issues.
- Defends financial institutions in arbitration actions before the NFA, FINRA, and AAA on a wide range of customer claims.

Presentations

- “FINRA 2022: What to Expect,” Ulmer Financial Services & Securities Litigation Webinar Series (March 2022)
- “SEC Update: Reg BI, Enforcement Activity, and the Willfulness Standard,” Ulmer, Hot Topics in Financial Services & Securities Litigation Webinar (February 2021)
- “Hot Topics in SEC Regulation and Enforcement,” Ulmer, Hot Topics in Financial Services & Securities Litigation Webinar (December 2019)

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Presentations (Cont)

- “FINRA in 2018,” panelist, Ulmer, Financial Services & Securities Litigation Hot Topics 2018 Seminar, Chicago (May 2018)
- “Oh no! Is that FINRA knocking on your door? Tips for Navigating a FINRA Investigation and Enforcement Action,” panelist, Ulmer, Financial Services & Securities Litigation Hot Topics 2016 Seminar (November 2016)
- “PTI: Hot Topics from the U&B Broker-Dealer Blog,” panelist, Ulmer, Financial Services & Securities Litigation Hot Topics 2015 Seminar (November 2015)

Publications

- “The SEC’s increased use of administrative proceedings in enforcement actions: background, controversies, and future outlook,” *Journal of Investment Compliance* (July 2016).

Involvement

Professional Affiliations

- Chicago Bar Association

Honors and Distinctions

- Named to the Illinois Super Lawyers Rising Stars list (2016-2017)
- Named an “Emerging Lawyer” by the Law Bulletin Publishing Company (2016 - 2019)

Admissions

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