



SYNDICATE  
LEGAL SUPPORT SERVICES

*FINANCIAL SERVICES INDUSTRY*



## SYNDICATE LEGAL SUPPORT SERVICES

### Team of:

- *Senior Paralegals*
  - *Paralegals*
  - *Law Clerks*
- *Attorney's (advisors)*
- *Retired Judges (advisors)*
- *Industry Specialists*

## FINANCIAL ADVISORS & BROKER DEALERS LEGAL SUPPORT SERVICES

- Complete Corporate Legal Services
- Administrative Law Actions Defense
- Americans with Disabilities Act (ADA)
- Antitrust & Competition
- Arbitration Proceedings
- Articles of Amendment
- Beneficial Ownership Info Report
- Bankruptcy Filings
- Breach of Contract
- Business Annual Reports
- Business Contract Consulting
- Business Contract Drafting
- Business Contract Review
- Business Filings
- Business Incorporation & Formation
- Business Licenses
- Business Permits
- Business Plan Development & Assessment
- Business / Corporate Resolutions
- Buy, Sell, Rent & Lease Agreements
- Bylaws
- Capital Markets Consultation
- Capital Markets Legal & Compliance
- Capital Markets Listing - OTC, NASDAQ & NYSE
- Capital Markets Listing - International Exchange
- Civil Litigation Support
- Commercial Real Estate Law
- Construction Law
- Consumer & Commercial Disputes
- Data Privacy & Cybersecurity Consultation
- Debt Collection, Negotiation & Settlement
- Deed Services
- Doing Business As Filings ("DBA")
- Entity Conversions
- Environmental Law
- Eviction Law (Tenant Side)
- Eviction Law (Landlord Side)
- Federal Tax ID ("EIN")
- Foreign Corporation Qualification
- Freedom to Operate Analysis
- Immigration Law (sponsorships)
- Independent Contractor Agreements
- Insurance & Risk Management
- Intellectual Property - Copyright
- Intellectual Property - Patent
- Intellectual Property - Trademark
- Intellectual Property Infringement
- International Incorporation
- International Trade Commission
- Labor & Employment (General)





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## FINANCIAL ADVISORS & BROKER DEALERS LEGAL SUPPORT SERVICES

- Labor & Employment (Hiring & Firing)
- Lease Agreements
- Litigation Support Services
- Mediation of Legal Disputes
- Mergers & Acquisitions
- Non-Disclosure Agreements
- Operating Agreements
- Private Placements
- Promissory Notes
- Real Estate Law
- Regulatory & Compliance
- Recalls & Product Liability Actions
- Secured Lending Law
- Securities & Blue-Sky Compliance
- Small Claims
- Supply Chain Disputes
- Surety Bond Advisory
- Trademark Monitoring
- Trademark Registration
- Trademark Searches
- Traffic Accident Law
- Traffic Ticket Defense
- Warranty & Consumer Protection
- Writs of Attachment
- Writs of Execution
- Regulatory Compliance
- RIA & Broker Dealer Formations & Registrations
- Registration and ongoing maintenance of registration for investment advisers
- Drafting and review of Form ADV (Part 1, 2A, 2B, and 3)
- CRS Forms
- U4 & U5 Filings
- Business Practices Brochures
- Investment Advisory Contracts
- Reviewing Marketing & Sales Practices
- Code of Ethics
- Conflict of Interest Reviews
- Privacy Policies
- Business Continuity Plans
- Policy & Procedures Manuals
- Maintaining of Books & Records
- Notice filings
- Privileged and confidential mock examinations
- Annual review and testing of policies and procedures
- Defense of regulatory examinations
- Defense of enforcement inquiries & Actions
- Assisting with client complaints
- Broker Protocol matters
- Review of investment opportunities
- Drafting and review of investment advisory, sub-advisory, TAMP, investment management, and retirement plan services agreements.
- Corporate formation and drafting of operating agreements
- Enforcement defense before the SEC and FINRA
- Capital Markets Listings (Domestic Exchanges & Foreign Exchanges)



**SYNDICATE LEGAL SUPPORT SERVICES**

25350 Magic Mountain Parkway

Santa Clarita, California 91355

Direct: (310) 463-5122

Website: [www.SyndicateLegalSupport.com](http://www.SyndicateLegalSupport.com)