

FINANCIAL INDUSTRY

金融业法部

Law for Traders from Lawyers who Trade®

前金融业专才，现法律界精英，

经验丰富，与您并肩!®

Ziliak Law was built with the needs of financial industry participants in mind. When broker-dealers, commodity trading advisors and pool operators, hedge funds, investment advisers, and proprietary trading groups have legal questions, Ziliak Law provides solutions that reflect experience with the business, legal, operational, and regulatory sides of the financial industry.

Ziliak Law 所提供的服务，针对金融行业人事的需要。当经纪商、期货市场顾问及运营商、对冲基金、投资顾问和自营交易公司遇到法律问题，Ziliak Law 提供的解决方案，反映我们于金融行业业务、法律、运营和监管方面的经验。

The financial industry is complex and dynamic. Industry participants contend with restrictions from statutes, regulators, exchanges, and self-regulatory organizations and thus frequently have need for legal assistance. But most attorneys who offer advice on these issues have little experience with trading strategies, mathematical models, and computer algorithms — the world in which modern advisors and trading companies operate. Because many of our team have worked in the industry in a variety of roles, we understand the business of trading, the complexities of managing money, and the importance of regulatory compliance. Our team's extensive experience with drafting policies and procedures, structuring private placements, responding to regulatory inquiries, and handling dispute resolution helps ensure effective legal solutions for our clients.

金融业复杂而多变。行内专业人事面对法规，监管机构，交易所和自律组织的限制，经常需要法律援助。但为这些问题提供建议的律师，大多不了解现代顾问和交易公司的运营方式，缺乏在交易策略，数学模型和计算机算法方面的经验。我们团队中的律师，许多曾于行内担任各种职务，所以我们了解交易业务的运作方式，资金管理的复杂性，以及合规的重要性。我们团队在起草政策和程序，组织私人配售，回应监管调查，和处理争议解决方面，经验丰富，确保为客户提供有效的法律解决方案。

Attorneys **律师**

Zachary Ziliak

Steven Bylina
Emmett McGrath

Compliance Solutions 合规解决方案

Advise on changing regulations and their implications for your business
就法规更改及其对您业务的影响提供意见

Draft policies and procedures applicable to your operation
为您撰写经营政策和程序

Conduct review of existing policies, procedures, regulatory documents (e.g. Form ADV and Form BD), and supervisory systems to identify and address deficiencies
对现行政策、程序、规范性文件（如 ADV 文件和 BD 文件）和监督系统进行审查，以确定和解决不足之处

Evaluate risk environment and advise on appropriate controls
评估风险环境，并提供建议以减低风险

Consult on regulatory reviews and findings
为法规审查和调查结果提供建议

Dispute Resolution 争议解决

Arbitration: CME, FINRA and NFA

仲裁：芝加哥期货交易所，美国金融业监管局和美国全国期货协会

Litigation: state and federal

诉讼：州和联邦

Mediation: FINRA and NFA

调解：美国金融业监管局和美国全国期货协会

Hedge Fund Formation 对冲基金创立

Private Placement Memoranda

私人配售备忘录

Subscription Documents

认购协议

Reg D and Blue Sky Filings
规则 D 豁免注册申请及蓝天申报