

# FinTech and Regulation

Trust. Knowledge. Confidence.

**Offit Kurman**<sup>®</sup>  
Attorneys At Law

*Legal Services and Representation for Fintech Companies*

## FINTECH & REGULATION ATTORNEYS

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Success in the financial technology (“FinTech”) industry takes deep experience, uncommon intelligence, and adaptability. As the FinTech industry grows, emerging FinTech companies face unparalleled competition, regulatory pressure, and customer demands. Organizations must be able to balance their ability to grow with the uncertainty created when innovation outpaces regulation.

This extraordinary set of challenges calls for an extraordinary legal advisor. The attorneys of Offit Kurman’s Fintech & Regulation Practice possess the skills and experience you need to maintain your company’s advantage, assist in the growth and help you avoid hidden pitfalls.

Offit Kurman’s attorneys have significant experience in a variety of matters facing today’s FinTech companies, including:

- Corporate transactions
- Finance
- Compliance and government investigations
- Intellectual property
- Litigation
- Securities
- Broker-Dealers
- Tax
- Privacy

Let Offit Kurman help your business stay agile, smart, and secure.

## *What We Do*

### COMPLIANCE

One of the first objectives to any new technology or adaptation is compliance with state and federal rules and regulations. Our group is known for our creative and entrepreneurial approach to compliance. Through rigorous, proactive business operations guidance, we help fintech clients simultaneously meet their legal obligations and boost their bottom lines.

### IP PROTECTION

Your trademarks, copyrights, and patents should be sources of value—not potential liabilities. We will advise you on how to protect your inventions, processes, systems, branding, and other intellectual property. Our proactive guidance will ensure you stay ahead of the costly and distracting legal and business issues that can arise when things are done without the proper insight and advice.

### CORPORATE LAW

Many fintech companies are founded with an eventual exit strategy in mind. Other businesses’ needs may change, requiring changes in ownership and investment. Whatever your future brings, you can rely on Offit Kurman’s experienced attorneys to represent you during any merger, acquisition, investment, or other corporate transaction.

### EMPLOYMENT LAW

Amid all the steps involved in starting a technology company, it is easy to lose sight of the intricacies and implications in regards to employment agreements. These agreements, if absent or drafted improperly, can lead to the exposure of confidential information and threaten an organization’s long-term value and viability. Together with Offit Kurman’s Employee Mobility and Trade Secret Protection Team, our Fintech attorneys will help you draft contracts that protect your proprietary secrets and prevent unfair competition, raiding by a competitor, or—worse—sabotage from within.

### PRIVACY

Privacy laws are undergoing constant change at both the federal and state levels, and no fintech company can afford to fall behind. Offit Kurman’s attorneys help clients understand and navigate regulations related to the permissible acquisition, sharing, use, and destruction of private information. Clients also trust our team for up-to-date guidance on required rules, policies and procedures for securing data, protecting systems, and responding to data breaches.



## *How We Do it*

### RELATED SERVICES

Financial Institutions Regulatory

#### COMPLIANCE AUDITS

We will not only assess your compliance but assist you in anticipating pushback from customers, as well as help you adapting business strategies to overcome those obstacles. Rather than simply giving you a “yes” or “no,” we will creatively work through challenges to facilitate your product or service and enhance its acceptance in the marketplace.

#### CONTRACT DEVELOPMENT

At Offit Kurman, we know the lifeblood of any business is its contracts. Our corporate law department can assist you in creating vendor and customer agreements as well as any other contracts essential to your business's success.

#### ADVISORY SERVICES

With decades of experience assisting clients across a variety of industries, we can assist you in developing operational processes, security procedures, and organizational documents that align with industry best practices. Our corporate law knowledge will ensure your organization adopts the correct business and debt structures, supported by proper legal documentation—providing you with the flexibility and foresight to avoid unforeseen problems if business relationships or plans go awry.

## *Who We Do It For*

If you need legal guidance or representation from an experienced fintech lawyer, Offit Kurman is here to help. Our team serves fintech companies of all sizes, from startups to Fortune 500 companies, including lenders, mortgage brokers, banks and other financial institutions, financial services providers, and international companies.