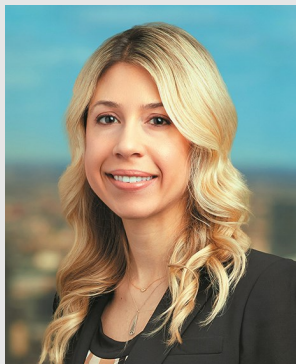


# Denise Fesdjian

Associate



312.658.6550  
500 West Madison Street,  
Suite 3600  
Chicago, IL 60661-45876  
dfesdjian@ulmer.com

## Practices/Industries

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

## Education

Michigan State University  
College of Law  
(J.D., 2011)  
Michigan State University  
(B.A., 2008)

## Overview

Denise focuses her practice on the representation of broker-dealers, investment advisors, and registered persons operating in the financial services industry. She provides regulatory compliance counseling and defends clients from regulatory investigations and enforcement actions brought by the Financial Industry Regulatory Authority (FINRA), the U.S. Securities & Exchange Commission (SEC), and state securities commissions, as well as arbitrations brought by customers and investors.

Formerly an investigative analyst at FINRA, Denise used data-driven analytical techniques to detect potential violations of securities laws and regulations. She has first-hand experience in conducting highly complex and technical investigations that monitored for potential fraud and market manipulation. Denise relies on her understanding of how FINRA investigates, analyzes, identifies, and prosecutes potential regulatory violations to help clients avoid costly regulatory scrutiny when possible and confront it effectively if necessary.

## Experience

- Prepared and submitted regulatory requests to firms, reviewed responses to information requests, and evaluated firms' policies and procedures, supervision of associated persons, and internal controls.
- Led formal interviews of subjects of regulatory investigations, conducted fact-finding, and gathered evidence to support recommendations of sanctions and disciplinary actions against member firms.
- Drafted case reports and other memoranda outlining facts and supporting evidence for the basis of disciplinary actions against member firms.
- Researched securities laws and regulations and provided interpretative rule guidance to firms.
- Headed a quality control team for e-discovery review and data analytics of corporate documents and communications.
- Performed e-discovery review for clients in imminent stages of litigation to determine relevancy, potential privileges, and confidentiality of documents and communications.
- Successfully defended a case for specific performance of a multimillion dollar real estate contract in the Chancery Division of the Circuit Court of Cook County.

## Involvement

### Professional Affiliations

- Chicago Bar Association (*Futures and Derivatives Law, Financial and Investment Services, Financial Institutions, and Securities Law Committees*)

# Denise Fesdjian

Associate

## Involvement (Cont)

### Community Involvement

- Cabrini Green Legal Aid, Young Professionals Board (*Co-Chair*)
- Gilda's Club Chicago (*Volunteer*)

### Admissions

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