



CARLILE PATCHEN & MURPHY^{LLP}

ATTORNEYS AT LAW

DENNIS J. CONCILLA

SECURITIES | LITIGATION | ARBITRATION | MEDIATION

Dennis Concilla is nationally recognized as a leader in securities recruiting law and has represented numerous national and regional securities and investment firms. With this expertise, Dennis heads the CPM Securities Practice Group. He is trusted counsel for securities broker-dealers, investment advisors, registered representatives, and banking institutions. In addition to his securities practice, he is also a trusted advisor in business law and litigation.

In his experience, he has served as Legal Counsel to the Ohio Senate Majority, District Director of the 12th Ohio Congressional District, and was an Assistant Attorney General for Ohio. Dennis has served as an arbitrator for the National Association of Securities Dealers "NASD") and trained arbitrators for the NASD. He has appeared before the Financial Industry National Regulatory Authority "FINRA" and its predecessor, the NASD, New York Stock Exchange, Commodities and Futures Trading Commission, Securities and Exchange Commission, Ohio Division of Securities, and other state regulators. Dennis has testified as an expert witness in matters related to the securities industry before state courts, arbitrations, and state regulatory hearings.

EDUCATION

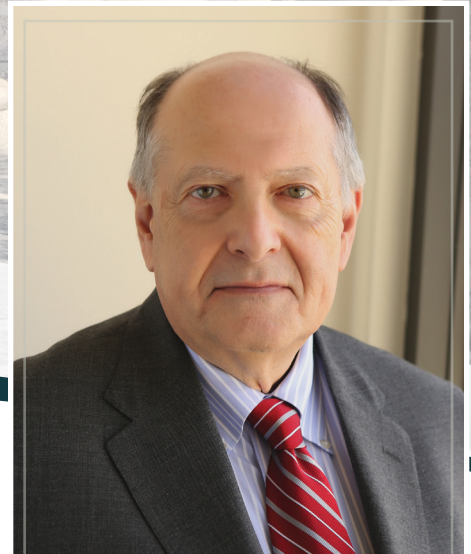
Dennis received his undergraduate degree (B.S.) from the University of Pittsburgh in 1973 and his law degree (J.D.) from Capital University in 1979.

PROFESSIONAL ASSOCIATIONS & MEMBERSHIPS

Dennis is a member of the Securities Industry and Financial Markets Association, Compliance and Law Division, and the Ohio State Bar Association and a former member of the Columbus Bar Association.

PROFESSIONAL RECOGNITION

Since 2010, Dennis has been recognized by Best Lawyers® peer rating service for his expertise in litigation-securities, securities/



☎ (614) 628-0771

✉ dconcilla@cpmlaw.com

Supported by:

Donna Peart

dpeart@cpmlaw.com

PROFESSIONAL ACCOLADES





CARLILE PATCHEN & MURPHY^{LLP}

ATTORNEYS AT LAW

capital markets, and securities regulation. He was named Best Lawyers®, "Lawyer of the Year" in Central Ohio for Securities / Capital Markets Law (2013, 2019, and 2022) and Litigation - Securities practice (2015, 2018, and 2023). Dennis was also selected to the Ohio Super Lawyers list by Ohio Super Lawyers magazine (2009, 2012-2013) and selected as a Columbus "Top Lawyer" (Columbus CEO's 2017 ranking) and has a Martindale-Hubbell® top peer rating of AV Preeminent®.

MEDIA COVERAGE

As a leader in the legal industry and person of interest, Dennis Concilla's expertise is highlighted in extensive news coverage:

- Sullivan, Paul. "As Big Firms Exit Broker Pact, Investors Are Uneasy." *The New York Times*, 19 January 2018, <https://www.nytimes.com/2018/01/19/your-money/broker-protocol.html>43215
- Kornish, Lorie. "These changes could disrupt your relationship with your financial advisor." *CNBC*, 7 December 2017, <https://www.cnbc.com/2017/12/07/protocol-for-broker-recruiting-changes-could-affect-your-advisor.html>
- Weinberg, Neal and Katherine Chiglinsky. "Broker Hiring Pact Hurt by Defections Expected to Survive." *Bloomberg*, 28 November 2017, <https://www.bloomberg.com/news/articles/2017-11-28/broker-hiring-pact-hurt-by-defections-still-expected-to-survive>
- Beilfuss, Lisa. "Morgan Stanley to Exit Accord on Broker Recruiting." *The Wall Street Journal*, 30 October 2017, <https://www.wsj.com/articles/morgan-stanley-to-exit-accord-on-broker-recruiting-1509380038>
- Smith, Katy. "People to Know: Dennis Concilla." *Columbus Business First*, 21 October 2016, <https://www.bizjournals.com/columbus/news/2016/10/21/people-to-know-dennis-concilla.html>
- Braswell, Mason. "Five Questions with Dennis Concilla." *On Wall Street*, 1 December 2013, <https://onwallstreet.financial-planning.com/news/five-questions-with-dennis>

For additional media coverage, goto cpmlaw.com/people/dennis-j-concilla