

BRIAN S. HAMBURGER, JD, CRCP, AIFA



Brian Hamburger is the Founder and Managing Director of MarketCounsel, the leading business and regulatory compliance consulting firm to the country's preeminent entrepreneurial independent investment advisors. He is also the Founder and Managing Member of the Hamburger Law Firm, a boutique firm practicing virtually all areas pertaining to investment and securities law as well as relevant corporate and employment matters.

In addition to his father's lifelong influence, Brian's involvement in the securities industry started before he could even drive a car. Since then, he has been involved in a myriad of areas within the industry, posting a rich diversity of experiences with investment adviser and financial planning firms. His prior experience spans government, both regulatory with the Enforcement Division of the U.S. Securities & Exchange Commission and judicial with the U.S. District Court and the state appellate court; industry, from booking trades at a wirehouse to serving as chief compliance officer of an SEC-registered investment adviser; and private law practice.

Mr. Hamburger is admitted to the bars of New Jersey, New York, Pennsylvania, Massachusetts, the District of Columbia, as well as the U.S. Supreme Court. He is a member of the American Bar Association (Business Law Section) and other bar associations; the Securities Industry and Financial Markets Association, Compliance & Legal Division; National Society of Compliance Professionals; Financial Planning Association; and Society of Financial Service Professionals. He has been appointed to various committees and industry task forces to shape industry-wide initiatives.

Brian is a frequent lecturer to regional and national groups in the securities industry including members of the wealth management, investment management, financial planning, accounting, and insurance professions. His forums have ranged from delivering the keynote address to the country's state securities regulators to addressing school-age children on career and entrepreneurial issues. For the past several years, he has been engaged by the North American Securities Administrators Association (NASAA) to train state securities examiners on investment adviser regulatory compliance. Mr. Hamburger proudly sits on several boards of directors and advisory boards. He maintains his FINRA securities licenses (Series 7, 63 and 65), is a member of the FINRA Dispute Resolution Board of Arbitrators and has served as an arbitrator for the New York Stock Exchange.

A graduate of Quinnipiac College, Mr. Hamburger received his B.S. with the school's first dual major in Economics and Financial Management. He went on to earn his Juris Doctor from the University of Miami School of Law where he was the recipient of a Dean's Service Scholarship and the President's Pinnacle Award for his role as Editor-in-Chief of the *Res Ipsa Loquitur*, the Bi-Weekly Journal of the University of Miami School of Law. Brian was among the first to earn the designation of Certified Regulatory and Compliance Professional (CRCP) by the Wharton School and the FINRA Institute after completing his residency at the Wharton School of the University of Pennsylvania. He was recently awarded the Accredited Investment Fiduciary Analyst™ (AIFA) designation by the Center for Fiduciary Studies.

Brian is an active member of the US Coast Guard Auxiliary. He lives with his daughter, Ella, and sons, Jacob and Sidney, in northern New Jersey.