

Experienced Attorneys + Proven Model = Quantifiable Results

Legility has worked with financial institutions for more than 15 years on a wide variety of legal matters. We are committed to the “Three P’s”: People, Process and Platforms.

Our proven model means highly regulated financial institutions receive experienced subject matter attorneys, battle-tested protocols and integrated technology solutions - resulting in dramatic cost savings and quality improvements:

People (attorneys average 10+ years of experience, 4+ years with the same client)

Processes (consistent, collaborative, efficient and defensible; custom workflow)

Platforms (robust and expert use of leading technologies)

Our client-dedicated, highly skilled financial services attorneys and detailed workflows focus on quality control, efficiency and communication, and our model was built to work in close collaboration with both inside and outside counsel. We have highly secure facilities in which our attorneys operate, or they can work on-site with our clients or their outside counsel. Flexibility and ease-of-use are hallmarks of our value proposition.

Specifically, client-dedicated teams of Legility attorneys handle a range of proceedings and matters requiring extensive expertise:

Proceedings include:

- SEC investigations and hearings
- SEC registration process
- FINRA investigations and hearings
- Federal and State securities litigation
- Third-party and government subpoena responses
- DOL investigations & hearings relating to 401(k)/Retirement funds

We have achieved best-in-class results for our financial services clients:

- ✓ Client-verified savings of \$1M to \$10M+ annually
- ✓ Litigation, transactional, compliance and employment teams dedicated to the client
- ✓ Expert use of the best technology platforms for the specific data set – we are technology agnostic
- ✓ Detailed protocols that maximize quality control and efficiency
- ✓ Highly secure facilities that meet or exceed financial service industry benchmarks

Subject areas include:

- Dodd-Frank Compliance
- Privacy Regulations
- Material Non-Public Information
- The Investment Company Act
- The Advisors Act
- The 1933 and 1934 Securities Acts
- ERISA
- Derivatives
- Liquidity Rules

FINRA expertise:

- Derivative Agreements
- Technology Agreements
- Mutual Fund Distribution Agreements
- Vendor Agreements (including transfer agency)
- Sub-Advisory Work (agreements, oversight, review & certification of 38(a) policies/procedures, diligence/oversight)
- Registration and Related Documents
- Document Review and Database Creation

So whether you are anticipating, preparing for or beginning an important matter or legal department initiatives, we can help you get results. We're eager to share our experiences to help you meet your goals.

Legility Team

Legility is the independent, global new law company.

We're here to do the best legal work of our lives alongside our innovator clients.

We deliver transformative legal solutions that build business value and set our clients apart. Our global network comprises 20+ offices & 1,500 people, and our legal operations work spans every industry and practice area. We have world-class data, strategy, and talent operations. But everyone and everything is driven by our core values:

- Do the Right Thing.
- Fabled Service.
- Diversity is in our DNA.
- Passion for Innovation.



Let's change the business of legal together.

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