Shumaker

Matthew S. Rosenstein

ASSOCIATE

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Matthew centers his practice on representing members of the financial services industry, from large institutions to individual registered investment advisors (RIAs), taking an analytical, yet personable, approach to handling their complex disputes. Clients and colleagues alike value the unique insights and experience he gained working for the agencies that govern the financial services industry and its participants.

Prior to joining Shumaker, Matthew spent five years as a regulator at Cboe (formerly known as the Chicago Board Options Exchange), where he handled complex regulatory investigations end-to-end through every stage of their lifecycle. His work included:

- Conducting market surveillance analyzing trading data
- Conducting regulatory inquiries and witness interviews
- Collaborating with enforcement counsel to drive disciplinary action

His legal experience in the financial services industry also includes internships with the Financial Industry Regulatory Authority (FINRA) and the U.S. Securities and Exchange Commission (SEC). With several members of the paternal side of his family practicing law in the financial services industry, Matthew developed an interest in this legal area at an early age.

SERVICE LINE

Litigation & Disputes
White Collar Defense & Investigations

INDUSTRY SECTOR

Financial Services
Registered Investment Advisory (RIA)

PRIMARY LOCATION

Sarasota, FL

Outside of work, Matthew enjoys spending time outdoors. He is a skateboarder and photographer of over 15 years and has had his photographs featured in regional and national skateboarding magazines, including *Skate Jawn.*

BAR & COURT ADMISSIONS

Illinois, 2022

New York, 2023

EDUCATION

J.D., Indiana University Maurer School of Law, 2021

B.A., University of Michigan, 2018

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