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Shumaker Establishes Registered Investment Advisory (RIA) Group to Meet Increasing Demand for Integrated Legal Support

SARASOTA, FL — Shumaker has established a dedicated RIA Group to address the growing need for comprehensive legal guidance tailored to this fast-expanding market.

INDUSTRY SECTOR

Financial Services
Registered Investment Advisory (RIA)

RELATED PROFESSIONALS

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Legal needs for RIAs continue to accelerate as advisors seek more control and flexibility. Launching and scaling an RIA, however, requires navigating a complex set of regulatory, contractual, employment, operational, and litigation considerations. Traditionally, advisors needed to engage multiple law firms—each focused on a narrow specialty—to move through these processes. This fragmentation increases risk, cost, and uncertainty.

Shumaker's RIA Group brings 13 legal specialties together in one coordinated team, each with direct experience advising individuals, RIA firms, and their leadership. The group is overseen by attorneys with deep experience in financial industry transitions and litigation, ensuring that each step—from planning and breakaway strategy through post-transition operations—is strategic and aligned with the firm's business goals.

"In light of the recent success of major RIA transitions and increasing demand, Shumaker realized the necessity of integrated legal services led by experienced attorneys," said Michael Taaffe, Shumaker Partner, Litigation & Disputes Regional Service Line Leader, and Financial Services Service Industry Sector Chair. "We are very pleased to offer this specialized legal counsel to our clients."

"The level of depth and breadth that Shumaker provides to RIAs is unmatched," said Michael Bressan, Partner and Leader of the RIA Group. "Our clients no longer have to manage multiple firms or disconnects between specialty attorneys. We offer clear, streamlined advice so advisors know what to do, how to do it, and when to do it. Our role is to help them rest well at night—confident that they can win the business, win any litigation, and win the narrative surrounding their transition."

Shumaker's integrated approach is designed to support RIAs through every stage, including:

- Entity formation and registration
- Breakaway and advisor transition planning
- Regulatory and compliance guidance
- Corporate formation
- Employment and compensation structuring
- Mergers, acquisitions, and succession planning
- Tax planning
- Real estate
- Data Privacy, data B=breach, and cybersecurity
- Estates and trusts
- Intellectual property, including trademarks
- Immigration
- Lobbying and governmental affairs
- Dispute avoidance and litigation

When disputes arise, Shumaker's litigation team is prepared to vigorously assert and/or defend clients' interests in state and federal courts, as well as arbitration and regulatory forums.

"Advisors increasingly need the right legal framework and defense strategy to make a move successfully," Bressan added. "That is exactly what this group is built to provide."

As an AmLaw 200 firm celebrating its 100th anniversary, Shumaker is an established presence that delivers national capabilities with collaborative, industry-focused counsel tailored to each client's growth strategy.

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