



Kimberley P. Cronin

Partner

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Practice Areas

- Banking and Financial Institutions
- Corporate

Admissions

- Colorado
- Massachusetts

Education & Honors

- University of Colorado Boulder 1993
- Boston College Law School 1997

Associations

- Colorado Chapter of the Financial Planning Association
- South Metro Denver Chamber of Commerce
- Security Industry and Financial Markets (SIFMA) Compliance and Legal Society

Awards

- Expert Contributor – Estrada Strategies Business Radio Show, December 2011
- Frequent contributor as an expert legal consultant.

Kimberley Cronin is an accomplished attorney and a member of the firm's Corporate Practice Group. Her expertise lies in providing legal counsel and representation to established companies, start-ups, and individuals. With a national clientele, Kimberley offers comprehensive advice and guidance on various corporate and employment matters. She has developed a niche practice where for more than two decades she has delivered cutting-edge and tailored legal advice to financial advisors, registered investment advisory firms, and broker-dealers operating in the Financial Services Industry. Her areas of focus include transition assistance, privacy matters, contract negotiation, retention and recruitment loans, FINRA inquiries and enforcement actions, state regulatory agency matters, board certification appeals, arbitration strategy, and overall business growth strategies.

Having practiced corporate law for many years, Kimberley has extensive experience in all aspects of the field. This encompasses corporate entity formation, partnership agreements, buy/sell agreements, and acquisition work. She has a genuine passion for working with advisors and advisory firms in the Financial Services Industry and possesses specialized knowledge of the wide range of issues faced by clients in this sector. Kimberley has successfully worked with individuals and teams managing assets under management (AUM) ranging from \$10 million to \$3 billion.

Kimberley earned her undergraduate degree from the University of Colorado Boulder before attending the prestigious Boston College School of Law, where she embarked on her legal career.

Bio Continued

In addition to her corporate law practice, Kimberley frequently serves as an expert legal consultant. Her expertise in the financial services industry has made her a valuable contributor, and she played a pivotal role in the development of an article titled "Transitioning within the Financial Services Industry: 'What Brokers Must Know Before They Go'." Collaborating closely with the team at Investment News, Kimberley provided insightful legal advice to financial advisors navigating transitions between firms. She remains dedicated to offering guidance and direction to the community in times of corporate legal challenges.

Kimberley has achieved numerous notable successes throughout her corporate law career. Here are a few examples that exemplify her accomplishments:

- Speaking engagements with the Colorado Financial Partners Association and various Investment Advisory Firms
- Contributions to various local radio shows outlining hot topics in corporate and securities industry rules and regulations
- Successful settlements in numerous Temporary Restraining Orders and Arbitrations

Professional Experience

- National Advisor Counsel LLP, Partner, 2012-2014
- Messner & Reeves LLP, Associate, 2008-2012

Publications and Speaking Engagements

- Transitioning within the Financial Services Industry: "What Brokers Must Know Before They Go" A general overview addressing the top 7 questions financial advisors ask when transitioning from one firm to another and providing thought provoking direction for next steps. Published: October 14, 2010
Investment News

Community Involvement

- St. Jude Children's Research Hospital