



## FPA of Metro New York 20th Annual Forum



### **Stephen A. Galletto, Esq.**

Shareholder  
Stark & Stark

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Stephen A. Galletto is a Shareholder and member of Stark & Stark's Securities Group, where he concentrates his practice on counseling financial service entities including investment advisers, broker-dealers, public and private investment companies (e.g., mutual funds, hedge funds, etc.), insurance brokers/agents, and CPA firms and their employees on regulatory, compliance, liability, and litigation issues.

Prior to joining Stark & Stark, Mr. Galletto gained extensive experience preparing and filing securities registration statements with the Securities Exchange Commission; assisting in the structuring, negotiating, and closing of reverse mergers; and assisting in the structuring of multi-million dollar PIPE financing deals while providing counsel to clients through the closing process.

### **Thought Leadership**

- Author, *Investment Adviser Requirements: Anti-Money Laundering and Suspicious Activity Reports*. NJ.com. June 10, 2016.
- Speaker, *Success in the Wake of the DOL Fiduciary Rule*. FolioDynamix Webinar. April 26, 2016.
- Speaker, *NAAIM: Marketing Cram Session*, February 16, 2011.
- Quoted, *SEC's New Form ADV Requirements: Fidelity Offers Guidance*. *Advisor One*, December 20, 2010.
- Speaker, *Implications of the recent changes to the Form ADV*. The Advisors MoneyShow, November 19, 2010.

**Practice Areas:** Securities

**Bar Admissions:** New Jersey, New York

**Professional Organizations:** Mercer County Bar Association

### **Education**

- J.D. – Seton Hall University School of Law (2007)
- B.S. – Penn State University (2002)