

Alex J. Gore

Partner

Alex Gore is an attorney in the Public Finance Group. Alex is a member of the firm's Municipal Securities Dealer Team, which provides broker-dealer / investment advisor regulatory advice, and defends securities dealers in litigation and enforcement actions. The team also serves as disclosure counsel and underwriter's counsel—both on individual transactions of all sorts, and, more and more commonly, across broad categories of transactions (e.g., all general obligations or municipal revenue obligations) for underwriters in one or multiple states.

Alex serves as underwriter's counsel and placement agent's counsel to national and regional broker-dealers across the country in a wide variety of municipal and conduit financings. Alex also assists his broker-dealer clients with a variety of regulatory compliance matters, including compliance with Municipal Securities Rulemaking Board rules, review of supervisory procedures and assistance on regulatory reviews.

Alex also serves as disclosure counsel to municipal issuers in Wisconsin and several other states. Alex assists his municipal issuer clients in understanding their responsibilities with respect to primary disclosure and continuing disclosure.

In his capacity as underwriter's counsel and disclosure counsel, Alex coordinates his team's due diligence review process and offering document review and preparation.

Representative Experience

- Served as disclosure counsel in connection with a series of bond financings for a professional sports arena.
- Served as underwriter's counsel to a national broker-dealer on revenue bond financings for a public state university.
- Serves as underwriter's counsel to a national broker-dealer on a wide variety of municipal, school district and special entity general obligation and revenue financings, as well as providing advice on compliance with Municipal Securities Rulemaking Board, FINRA and SEC rules.
- Assisted municipal clients in complying with a national Securities and Exchange Commission enforcement initiative, including negotiating terms of a resulting enforcement order.

Legal Services

- Public Finance




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Education and Honors

- University of Wisconsin - Madison (J.D., *magna cum laude*, 2009)
 - Order of the Coif
 - Wisconsin Law Review (Articles Editor, 2008–2009)
- University of Wisconsin - Madison (B.B.A., *with distinction*, 2006)

Bar Admissions

- Wisconsin