

# Daniel Spungen

Indianapolis, IN

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## PARTNER

### Overview

Daniel's greatest strength is understanding both the business and legal needs of his clients. Daniel studied finance and economics prior to starting his legal career and continued to focus on the business world throughout law school, which gives him the advantage of business acumen to accompany his legal skills. He strives to provide effective guidance and serve as a trusted partner to his clients.

As a member of the firm's Banking & Finance and Corporate Service Groups, Daniel provides legal guidance with a business perspective in mind. He primarily represents public and private corporations, start-ups and small businesses, banks, and financial institutions. Daniel is experienced in working on regulatory issues, corporate governance, mergers and acquisitions, state blue sky laws, the Securities Acts of '33 and '34, and general counsel services. He has represented both buyers and sellers in asset and stock purchase deals, ensuring that his clients goals are met in the transaction. As a Certified Securities Compliance Professional (CSCP), Daniel is equipped to advise state- and SEC-registered investment advisers and broker-dealers on regulatory and compliance issues under the Investment Advisers Act of 1940 and FINRA rules.

Daniel gets great satisfaction from helping his clients achieve their goals, whether it involves bringing on new investors through a private placement or other securities offering, growing their business through a merger or acquisition, or selling their business to move onto other ventures. His goal is to make sure his clients' needs are met and prevent potential problems down the road. Prior to joining the firm, Daniel worked as the Chief Deputy Securities Commissioner for the Indiana Secretary of State and oversaw the regulation of the securities industry in Indiana.

### SERVICES

Banking & Finance  
Certified Securities  
Compliance Professional  
Corporate & Securities  
Corporate Governance  
Mergers & Acquisitions  
Money Management/  
Investment Adviser  
Outside General Counsel  
Securities & Capital Markets  
Securities Enforcement

### EDUCATION

Indiana University Robert H.  
McKinney School of Law, J.D.,  
2015, *magna cum laude*

Indiana University Kelly  
School of Business, B.S., 2010

Certified Securities  
Compliance Professional  
(CSCP)

### ADMISSIONS

Indiana

## Experience

Represented the State of Indiana by Serving on Both the Business Organizations and Accounting Principles Project Group and the Electronic Filing Depository Committee

Prepared an Intrastate Securities Offering on Behalf of a 501(c)(3) Organization to Secure Funding for the Nonprofit

Represented a Publicly Traded Financial Institution in a \$7.5 Million Tender Offer to Repurchase its Outstanding Shares

Oversaw the Entire Securities Registrations Department for the State of Indiana

## Membership & Involvement

Member: Midwest Business Brokers & Intermediaries; Indiana Bankers Association

## Honors

- Selected to the Indiana Super Lawyers "Rising Stars" list: 2024, 2025
- Selected to *The Best Lawyers in America*® in Banking and Finance Law: 2024, 2025
- Selected as Indiana Lawyer Leadership in Law Honoree, Up & Coming Lawyer: 2025

## Firm News

Daniel Spungen Recognized by *The Indiana Lawyer* as a 2025 Leadership in Law Honoree!

Firm News, *The Indiana Lawyer*, May 29, 2025

Amundsen Davis Elevates Seven Attorneys to Partner

Firm News, February 19, 2025

Amundsen Davis Attorneys Included on the 2025 Indiana Super Lawyers and Rising Stars Lists

Firm News, February 18, 2025

100 Amundsen Davis Attorneys Recognized by Best Lawyers® in 2025 in America

Firm News, August 15, 2024

Congratulations to the Amundsen Davis Attorneys Included on the 2024 Indiana Super Lawyers and Rising Stars Lists

Firm News, February 28, 2024

82 Amundsen Davis Attorneys Recognized by Best Lawyers® in 2024 in America  
Firm News, August 17, 2023

Amundsen Davis Welcomes Daniel Spungen as Senior Counsel in Indianapolis  
October 20, 2021

### In the Media

*The Indiana Lawyer* Quotes Daniel Spungen on the Uptick of Accounting Firm  
Mergers

*The Indiana Lawyer* Quotes Daniel Spungen on the FTC's Lawsuit Against Kroger

### Speaking Engagements

Economic Trends for 2025 and Beyond in the VC Landscape  
Speaking Engagement, IU Ventures Summit, Seminar; Bloomington, IN, May 16,  
2025

Bank Regulatory Agency Update Under DOGE: What Every Financial Institution  
Needs to Know  
Event, Amundsen Davis, Webcast, April 3, 2025

Strategic Capital Raising: Essential Considerations and Key Insights for Boards  
Speaking Engagement, Indiana Banks Association, 2024 IBA Annual Convention;  
French Lick, IN, September 8, 2024 - September 10, 2024

What Every Bank Director and Officer Should Know About Regulatory  
Compliance  
Speaking Engagement, Cherry Bekaert, 2024 Financial Institutions Summit;  
Churchill Downs, KY, August 28, 2024

The Most Valuable Asset: Overcoming Employee Related Hurdles to Close a Deal  
Speaking Engagement, Midwest Business Brokers and Intermediaries, Seminar;  
Fishers, IN, August 24, 2023

### Blog Posts

Banking Regulators Signal Change in Cryptocurrency Approach  
*Banking Brief: Financial Services Insights*, May 8, 2025

U.S. Supreme Court: "Pure" Omissions Are Not Actionable Under Rule 10b-5  
*Corporate News: A Legal Update*, April 16, 2024

Impact of the SEC's 2024 Examination Priorities Report for Investment Advisers  
*Corporate News: A Legal Update*, March 21, 2024

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How Financial Institutions Should Handle “Sovereign Citizens”

*Banking Brief: Financial Services Insights*, March 18, 2024

Insights from the OCC Semiannual Risk Perspective

*Banking Brief: Financial Services Insights*, July 18, 2023

Calming Depositor Angst at Community Banks

*Corporate News: A Legal Update*, April 17, 2023

Private Placement – State and Federal Law Considerations

*Corporate News: A Legal Update*, February 1, 2023

What the SEC’s New Strategic Plan Means for the Financial Industry and Investors

*Corporate News: A Legal Update*, September 7, 2022

Contract Drafting During Historic Inflation Increases

*Corporate News: A Legal Update*, April 15, 2022

BlockFi Settlement: A New Era in Crypto Regulation?

*Banking Brief: Financial Services Insights*, February 24, 2022

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