

Litigation and Alternative Dispute Resolution

Securities Litigation and Enforcement

Contacts

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The consequences of securities investigations, enforcement actions and litigation may be stiff monetary and other penalties. You might even be prosecuted criminally.

Our lawyers have decades of collective experience representing clients facing government investigations and enforcement actions. The subject matter of these proceedings includes the following categories:

- ▶ Securities and bank fraud
- ▶ Brokerage firm trading practices
- ▶ Brokerage firm underwriting practices
- ▶ Insider trading
- ▶ Manipulation
- ▶ Investment advisor activities
- ▶ Securities offerings
- ▶ Foreign Corrupt Practices Act

Our clients come from virtually every aspect of the securities industry and include corporations, corporate officers and directors, major national brokerage houses, NYSE floor brokerage firms, investment advisory and asset management firms, accounting firms and investors accused of insider trading.

Our brokerage firm clients hire us to defend them in customer and industry arbitrations, regulatory inquiries, disciplinary proceedings and investigations by the SEC, NYSE, Financial Industry Regulatory Authority (FINRA) and state agencies. We also regularly represent these clients in civil litigation involving, for example, customer claims, allegations of securities law violations, and employee compensation and termination matters. In addition, we act as regular outside counsel for a number of firms and in that regard handle, among other types of matters, partnership and control disputes. We arbitrate in all regulatory forums and before the American Arbitration Association. We litigate in both state and federal courts in a variety of jurisdictions.

We also conduct internal investigations for clients involving federal securities laws and regulatory and fiduciary duty issues. As attorneys who specialize in securities litigation and enforcement, in the event that you become the target of a criminal investigation or prosecution, we will work closely with Garvey Schubert Barer's white-collar defense and investigations lawyers, who, like us, have preeminent credentials, deep experience and a history of producing favorable results for clients.

Drawing on our extensive knowledge, trial experience and understanding of the securities industry, we tailor our services individually for each client, thereby providing you with the best possible legal advice.