

SECURITIES & CAPITAL MARKETS LITIGATION

Our group of former registered representatives, regulators, and in-house lawyers, with years of experience as trial lawyers are fierce advocates for our clients.

Our attorneys pride themselves for deep transaction, regulatory, and investigation knowledge, business pragmatism, and tireless work ethic. We partner with our clients serving as trusted advisors to understand their needs. We bring an enterprise-wide perspective – not a fixation on a single matter – to our problem solving. Our clients appreciate our efforts to know their business, their perspective, and their goals to deliver comprehensive, cost-efficient solutions.

Our experiences with the SEC, FINRA, DOJ, CFTC, CFPB, CBT, and in the courts informs our approach to the financial services and shareholder disputes that form the core of our practice. We represent and advise public companies, broker-dealers, and banks as well as private equity funds, entrepreneurs, registered persons, business development companies, hedge funds, mezzanine funds, bank affiliates, mortgage brokers, and institutional investors. We understand capital markets businesses from investment banking to FICC trading to cross-border transactions.

In private litigation and arbitration, we have defended clients in high-profile shareholder class actions under the 1933 Act, the 1934 Act and states' securities laws. We have litigated retail cases of suitability, churning, disclosure, and fraud. We have advised and defended public and private company boards of directors in securities and fiduciary duty challenges to multi-billion dollar mergers and other transactions. We have represented an international bank in the industry-wide FOREX litigations.

In government investigations and proceedings, we have defended all manner of systemic risk-related FINRA disputes, Department of Justice, SEC, CFTC, and state securities regulatory investigations and proceedings. We have represented clients with respect to allegations tied to LIBOR, "pay to play", market manipulation, antitrust, and spoofing.

Transactional & Advisory Resources

Our lawyers work together closely. Integrating with our corporate services, we regularly represent clients in initial and secondary public offerings, high-yield and investment-grade debt issuances, Rule 144A financings, exchange offers, convertible debt issuances, private placements, tender offers, project financings, and other liability management transactions. We also counsel other key parties in public offerings and private placements, such as underwriters, placement agents, institutional investors and selling shareholders, as well as those providing credit support on debt issues through guarantees, surety bonds and letters of credit. For companies planning an initial public offering ("IPO"), we work closely with issuers, their accountants and investment bankers in connection with all phases of the IPO process.

Subject Matter Listing

- 1933 Act and 1934 Act
- State securities acts
- Commodities Exchange Act
- Sarbanes-Oxley
- Unsuitability
- Unauthorized trading
- Churning
- Embezzlement
- Check kiting
- Whistleblower
- Cartel behavior
- Failure of controls or inadequate controls
- RESPA
- Mortgage servicing
- Market manipulation
- Benchmark collusion
- FDCPA
- TILA
- High value customer disputes
- Broker selling away
- Raiding and Protocol disputes
- Trade secrets & confidential information
- Fiduciary duty
- Insider trading
- Failure to supervise
- Collusion
- Qui tam claims
- M&A disclosure and process
- Spoofing