

Related Services

- Financial Services Litigation, Regulation and Enforcement

Asset Management

Our team helps investment management clients address new regulatory challenges and defend them in all phases of litigation and regulatory enforcement action.

We represent many of the largest and most prominent industry participants as well as smaller entities and individuals. We work closely alongside our clients to develop practical, business--oriented solutions that avoid and minimize exposure to regulatory liabilities.

Our experience includes successfully positioning clients to avoid potential lawsuits, litigating disputes to provide a strategic advantage, negotiating favorable settlements that directly impact our clients' bottom lines and advising leading investment funds and fund managers in disputes involving enforcement and alleged breaches of duty, regulatory issues and investigations.

Experience

- Advising leading investment funds and fund managers in disputes involving enforcement and default issues in the financial markets, alleged breaches of duty, contentious regulatory issues, investigations and reputation management.
- Counseling clients in investigations and inquiries before government agencies and self-regulatory organizations, including the CFTC, the SEC, the National Futures Association, FINRA and the various exchanges.
- Representing broker-dealers, investment banks, private equity funds and investment advisors in civil litigation, arbitration and regulatory matters.
- Representing trustees of one of the largest asset management funds in the world in a class action based on the August 2015 stock market flash crash.
- Advised an asset management firm as members of an ad hoc committee in bankruptcy court defending against claims that clients traded in bonds while negotiating a reorganization plan with the debtors.
- Negotiated the settlement of over 20 different funds involving billions of dollars in derivative claims against the Lehman Brothers Estate, without engaging in litigation.