

Related Services

- Financial Services Litigation, Regulation and Enforcement

Broker-Dealer Litigation

Our team represents broker-dealers, investment banks, private equity funds, hedge fund managers and investment advisors in civil litigation, arbitration and regulatory matters.

In addition to our significant trial experience, we have arbitrated cases involving state and federal securities laws, fraud, negligent misrepresentation, breach of fiduciary duty, elder abuse and unfair business practices.

We represent firms and individuals in connection with a wide range of Securities and Exchange Commission (SEC), Financial Industry Regulatory Authority (FINRA) and state investigations and regulatory proceedings. With our lawyers' specialized knowledge of SEC and FINRA enforcement programs and our credibility with regulatory staff, we are well-positioned to obtain positive results for our clients.

Experience

- Representing broker-dealers, investment banks, private equity funds and investment advisors in civil litigation, arbitration and regulatory matters.
- Representing financial companies and their officers and directors in class action and individual litigation arising under the federal securities laws, federal commodities laws and regulatory matters involving virtually all traded commodities and the instruments through which they are traded worldwide.
- 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.
- Defended an asset management affiliate of a European investment bank in a \$1.3 billion breach of fiduciary duty and fraudulent conveyance litigation.
- Advised an asset management affiliate of a global investment bank in SEC insider trading investigation.