

## Related Services

- Capital Markets / Securities / Debt Finance
- Commodities / Derivatives / Energy
- Corporate
- Financial Services Litigation, Regulation and Enforcement

## Securities and Commodities

Financial companies and their officers and directors rely on our group for advice on class actions 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.

We have substantial experience representing 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. We frequently represent clients in trials, investigations and inquiries before government agencies and self-regulatory organizations, including the CFTC, the SEC, the National Futures Association, FINRA and the various exchanges.

### Experience

- 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.
- 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.
- Advised an asset management firm in SEC investigation concerning investment company governance matters.
- Counseled a private wealth management division of a global investment bank in SEC investigation regarding policies, procedures and public disclosure with respect to monetization of substantial founder stock positions.
- Advised asset management affiliate of a global investment bank in SEC insider trading investigation.
- Advised a major investment management fund in a complicated securities class action settlement involving Enron securities claims.