

## Overview

When faced with a securities investigation, enforcement action, lawsuit, arbitration, or regulatory proceeding, clients across the country turn to our Securities Litigation, Enforcement, and Compliance Team to navigate the complexities of such high-stakes issues.

Our team regularly represents national, regional, and local financial institutions, registered investment advisers, municipal advisers, broker-dealers, registered representatives, boards of directors and committees, corporate officers, and executives. We have defended litigation, handled arbitrations, and counseled clients in regulatory, compliance, and employment matters in more than 40 states and internationally, including achieving successful results for our clients in the resolution of arbitration with the Financial Industry Regulatory Authority (FINRA) and enforcement litigation with the Securities Exchange Commission (SEC) and state securities agencies.

While our team has the experience and skill set to negotiate favorable resolutions in many of the cases we handle, we also have a deep bench of lawyers that have successfully tried cases in arbitrations and courts across the U.S. In past cycles, members of our team have tried more than 40 cases before arbitration panels and have achieved a total defense verdict in more than 70% of those cases, well above the national average. This experience provides clients with an advantage, not only in a trial setting but in settlement negotiations. Since 2006, the team has achieved settlements at an average of only 12% of the claimed damages in arbitration claims.

We take a cross-disciplinary approach to our practice by tapping into the capabilities of our colleagues who have experience in, mergers and acquisitions, corporate governance, appellate, banking, and white-collar defense.

## How We Help

### Arbitration, Litigation, and Enforcement

- Defending clients in securities class actions, derivative litigation, proxy contests, corporate takeovers, and investigations
- Representing clients in FINRA and other arbitration forums

- Defending clients in product-related litigation, including securities-backed lines of credit, exchange-traded funds (ETFs), collateralized debt obligations (CDOs), collateralized mortgage obligations (CMOs), mortgage-backed securities (MBSs), municipal bonds and municipal bond funds, open and closed-end mutual funds, preferred securities, margins, and commodities
- Representing clients in employment litigation matters involving trade secrets, proprietary information, unfair business practices, and unfair competition
- Representing clients in investigations and enforcement actions brought by the SEC, FINRA, and various state securities regulators
- Defending clients in white-collar criminal cases

### Regulatory and Compliance

- Representing clients in SEC, FINRA, and state securities enforcement proceedings
- Conducting independent internal investigations on behalf of corporate management and boards of directors, consulting on internal policies and procedures, and advising on best practices
- Counseling clients in formal and informal regulatory and anti-money laundering investigations
- Advising on digital assets
- Creating public offerings and private placements that comply with state and federal laws
- Conducting internal investigations
- Providing disclosure counsel on public offerings
- Advising on director and officer liability protections
- Drafting non-compete covenants and non-solicitation provisions, nondisclosures, and confidentiality agreements
- Drafting internal policies and procedures



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