

## Securities Litigation & Enforcement

*Experienced, meticulous counsel knowledgeable in all aspects of disputes under state and federal securities laws*

Facing a securities investigation, enforcement action or class action litigation is daunting. The stakes are high, potential consequences ranging from large financial penalties to administrative enforcement or criminal prosecution.

Drawing on our extensive knowledge, trial experience and deep understanding of the securities industry, our attorneys successfully guide clients through these highly challenging situations and are devoted to defending your interests.

Whether you're a corporate executive, board member, brokerage firm, investment advisor or investor, we have the industry knowledge and legal know-how to help you navigate complex proceedings that include:

- Securities and bank fraud
- Internal investigations
- Insider trading
- Registered or Unregistered Securities offering
- Class action lawsuits

We represent clients before key regulatory bodies like the SEC, NYSE, FINRA and state agencies, defending them in arbitrations, investigations and disciplinary actions. From customer claims and securities law violations to employee disputes, we handle a broad range of litigation and arbitration matters across state and federal courts. Additionally, our team regularly partners with clients to conduct internal investigations, helping to address regulatory and fiduciary concerns. Our securities litigation lawyers take on the merits of these disputes, teaming with transactional colleagues for industry knowledge and with insurance coverage colleagues to navigate and enforce applicable policies.

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*Cannabis Business Blog, 2.22.18*