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Securities & Commodities

We apply industry-leading knowledge to navigate the complex legal and regulatory issues that drive securities cases. The lawyers in our practice have significant regulatory and government backgrounds with the SEC and as seasoned counsel to the financial services industry. Our Securities and Commodities group blends extensive experience with high-stakes securities litigation with nationwide trial experience to aggressively defend financial services firms.

Securities-Related Experience

We handle securities-related investigations, regulatory matters and disputes, including class actions, mass actions, lawsuits in state and federal courts throughout the U.S. in connection with securities fraud, market manipulation, RICO, consumer fraud, and common law fraud claims. We represent financial services firms in responding to regulatory investigations and inquiries. Our experience encompasses arbitrations involving investors and employment practices at financial services firms, and defense of broker-dealers and major brokerage firms in arbitrations before FINRA panels.

Effective Defense Strategies

Widely lauded for our experience in the securities arena, our in-depth knowledge of the regulatory environment, coupled with our extensive litigation and arbitration experience, enables us to quickly and successfully defend major national, regional and local broker/dealers and commodities firms, and to tailor effective strategies to meet our financial services clients' needs.

KEY CONTACT

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RELATED CLIENT SERVICES

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Regulatory Enforcement

Bankruptcy & Creditors' Rights

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