



Securities and Financial Services Litigation

Our Securities, Financial Services and White Collar Group consists of 25 lawyers and focuses on the representation of corporations and financial institutions in connection with complex litigation, class actions, regulatory and compliance matters and the defense of criminal proceedings. Our financial services lawyers that make up part of this practice group are among the most experienced and seasoned attorneys dedicated to representing financial services clients in the State. We regularly handle a variety of matters on behalf of all types of businesses including brokerage firms, financial advisors, hedge funds and insurance companies and their associated persons that include the following:

- Class Actions, Shareholder Actions and corporate disputes
- Customer claims of all varieties (arbitration and state and federal court)
- Regulatory investigations and proceedings brought by SROs, the SEC, and state regulators and criminal investigations
- Registration of broker/dealers, investment advisors, branch offices and their affiliated persons
- Raiding and competition
- Trading disputes
- Securities and sales practice class actions
- Disputes over compensation
- Counseling regarding compliance matters and internal investigations of possible corporate and business misconduct
- Insurance regulatory matters
- Antitrust matters

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