

## Securities Litigation

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- Successfully represented a company seeking hundreds of thousands of dollars from defendants who promised to invest the company's assets under a convoluted investment scheme involving banks and investment firms located in the United States and England.
- Served as lead counsel in FINRA arbitrations defending investment advisors and registered representatives from claims alleging misrepresentation, failure to properly manage investment accounts and misuse of investment strategies.
- Successfully represented large, nationwide broker-dealers seeking to enforce restrictive covenants against departing investment advisors who stole confidential and proprietary client information.
- Successfully represented securities brokers in Illinois, Wisconsin, Indiana, Michigan, Ohio, Missouri, Nebraska, Arizona, California, Florida and New York who transferred to other broker-dealers and who were sued for violating their non-solicitation agreements.
- Represented insurance agents and securities brokers in regulatory actions and investigations conducted by FINRA, the NYSE, and Oregon, Wisconsin, Indiana and Illinois.
- Represented two investment advisors in numerous lawsuits charged with violating federal and state securities laws, as well as breaching fiduciary duties and committing common law fraud, in connection with a series of private placement investments.
- Represented a securities broker-dealer in connection with a legal malpractice action against its former counsel relating to counsel's defense in a multi-million dollar securities fraud lawsuit.