

## Securities Litigation, Arbitration and Regulatory Practice

When it comes to the complexities of securities laws, rules, and regulations, GrayRobinson is primed to put its extensive experience to work for its securities and financial services industry clients. Our experience, however, extends well beyond an understanding of the complex web of laws, rules, and regulations that govern our clients' activities. We also know and understand our clients' businesses, inside and out, which allows us to anticipate legal issues and craft tailor-made defense strategies. We do this not just by assisting our clients in litigation, arbitration, regulatory and criminal proceedings, but also by drafting policies and procedures, training representatives on best industry practices, assisting clients with internal investigations and regulatory reporting requirements and counseling clients on recruiting, hiring, and terminating employees.

GrayRobinson attorneys have extensive experience in all aspects of securities and financial services industry litigation, arbitration, and regulatory proceedings. We regularly represent both public and private companies, banks, issuers, underwriters, broker-dealers, investment advisors and their respective officers, directors, and registered representatives in state and federal courts, as well as in arbitration proceedings administered by a wide variety of arbitration organizations including the Financial Industry Regulatory Authority (FINRA), New York Stock Exchange (NYSE), Chicago Board of Options Exchange (CBOE), National Futures Association (NFA), American Stock Exchange (AMEX), American Arbitration Association (AAA), Pacific Stock Exchange (PSE) and the Judicial Arbitration and Mediation Services (JAMS). Over the years, we have tried and arbitrated cases involving a multitude of different investment products and services that extend far beyond disputes over conventional investments such as stocks, bonds and mutual funds. Lawyers in our group have litigated and arbitrated cases involving limited partnerships, private equity, collateralized debt/loan obligations, promissory notes, leveraged exchange-traded funds, hedge funds and funds of hedge funds, auction rate securities, commodities and futures trading, options trading, restricted securities, concentrated stock positions and numerous other alternative investment products and strategies. We have also litigated and arbitrated selling away cases and defended clients against charges of churning, unauthorized trading, inadequate due diligence, undisclosed conflicts of interest, unauthorized margin liquidations, order execution failures, unregistered securities sales, unsuitable recommendations/advice, overconcentration, market manipulation, exploitation, failure to hedge, raiding, wrongful termination, discrimination, defamation and alleged whistleblower law violations. We apply this experience not just in litigation and arbitration proceedings, but also in investigations and administrative actions initiated by the SEC, FINRA, bank regulators and state regulatory agencies.

In addition to the foregoing, GrayRobinson attorneys have extensive experience representing clients in SEC Receivership cases (many involving alleged Ponzi schemes), as well as in pre- and post-arbitration proceedings to either enforce arbitration agreements or confirm, modify, or vacate arbitration awards. We also represent corporations and their directors in securities class action cases, as well as in proxy contests and shareholder derivative proceedings.

Members of our criminal and white collar defense practice are also routinely called upon to handle matters involving securities fraud at the trial and appellate levels. We have represented corporate executives, mid-sized and major multi-million dollar businesses, in

federal and state courts across the country. We have successfully represented clients in avoiding indictment and the prosecution of securities fraud offenses, as well as during lengthy jury trials.

Finally, attorneys in our securities litigation, arbitration, and regulatory group routinely speak and write on cutting edge issues affecting the securities and financial services industry and we bring this knowledge and experience to bear in every matter we handle for our clients.