

Securities Litigation, Arbitration, and Regulatory Defense

Our Financial Services practice group represents financial services companies throughout the United States, as well as in the Rocky Mountain region, in litigation, arbitration/mediation and regulatory proceedings.

Financial Services and Securities Litigation. We represent clients in matters involving the defense of financial services firms, including broker dealers, investment bankers and banks, and their officers/directors and registered representatives in the following:

- Fraud
- Insider trading
- Breach of fiduciary duty
- Breach of contract
- White collar, civil and criminal defense

Customer/Broker Dealer Industry Arbitration and Mediation. We represent clients in securities arbitration and mediation involving the defense of member firms and their officers, directors and registered representatives in the following:

- Securities fraud
- Breach of fiduciary duty
- Unsuitable trading
- Churning
- Unauthorized trading
- Raiding disputes
- Restrictive covenants and other employment disputes

Regulatory Matters.

- We defend financial services firms, including broker dealer and investment advisors in proceedings brought by self regulatory organizations, the SEC, the state and State Securities Commission before the regulators.
- We defend public companies, and their officers/directors and employees, in SEC related matters, including SEC investigations and civil and administrative proceedings.
- We conduct internal investigations of public companies and other regulated entities, such as broker dealers and investment advisory firms.