

# 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.