

Regulatory Proceedings

We have a great depth of experience representing public and private companies, officers and directors, securities firms and their registered professionals in a wide range of regulatory proceedings including:

- NYSE and FINRA securities arbitrations;
- federal and state commercial litigation;
- Nasdaq delisting proceedings;
- securities related employment and customer disputes, and
- SEC, NYSE and FINRA investigations, enforcement actions and regulatory proceedings.

These matters range from the garden variety investment claims to sophisticated securities fraud actions and enforcement proceedings involving:

- 10b-5 claims;
- officer and director liability;
- improper disclosure;
- market manipulation
- trade reporting violations;
- failure to supervise;
- clearing and trading irregularities;
- research conflicts of interest;
- sales practice rule violations;
- employment and promissory note disputes; and
- corporate raiding.