

Robert Rabinowitz and Sarah Klein Successfully Oppose Motion for Summary Judgment

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By: Robert I. Rabinowitz, Sarah Klein



Robert Rabinowitz and Sarah Klein successfully opposed a motion for summary judgment in a regulatory proceeding on behalf of a securities broker who is facing a serious fraud charge in connection with activities as a bond trader. This victory will allow the case to proceed to a final hearing where the client will be permitted to present evidence and witness testimony before an extended hearing panel.

Robert, a Shareholder in Becker's Corporate practice in New Jersey, focuses his practice in representing brokerage firms and their associated persons in connection with regulatory investigations, and disciplinary proceedings before the Securities and Exchange Commission (SEC) and the Financial Industry Regulatory Authority (FINRA). He also specializes in representing parties in securities arbitration and civil court proceedings and is a member of FINRA Dispute Resolution's panel of industry arbitrators.

Sarah, an attorney in Becker's Corporate and Business Litigation practices in New York, represents broker-dealer clients on a wide range of corporate and securities matters including mergers and acquisitions, corporate governance, SEC disclosure and securities regulation, and FINRA arbitrations.