

Securities

RELATED SERVICES

- Antitrust
- Appellate
- Banking & Finance
- Bankruptcy, Restructuring & Creditors' Rights
- Class Action Defense
- Commercial Litigation
- Directors & Officers Coverage
- Directors & Officers and Shareholder Litigation
- Estate & Trust Litigation
- Government Investigations & Enforcement Defense
- Trial Practice
- White Collar Defense

CONTACTS

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Partner

OVERVIEW

The Securities litigation and compliance practice group guides members of the securities industry through the fast-paced and ever-changing landscape of securities regulation, arbitration, regulatory enforcement, litigation, and appeals. The team regularly represents broker dealers, registered investment advisers, issuers and their principals, and other financial professionals in FINRA and AAA arbitrations, federal and state courts, and SEC, other federal agency and state agency investigations and enforcement actions throughout the country. Additionally, our members represent and counsel individuals, businesses, accountants and accounting firms, attorneys and law firms, officers and directors, and financial institutions in pre-suit crisis avoidance, defending complex civil litigation and federal and state agency investigations and enforcement actions.

Our team also acts as outside counsel providing general counsel and advice, assisting with corporate documentation and related matters, conducting internal and external investigations, advising on regulatory compliance, and acting as a liaison to State and Federal governmental regulatory authorities.

GRSM has well-proven experience with the complete range of regulatory and market issues facing full-service, discount, and on-line broker-dealers, as well as broker-dealer affiliates of insurance companies, hedge funds, banks, and other diversified financial services companies that offer investment management, brokerage and financial related services. The group also has a strong track record in handling associated parallel proceedings, government investigations and enforcement, concurrent private claims, class actions and multi-jurisdiction cases, and criminal investigations. The group's trial expertise also includes complex sales practices and consumer fraud actions for life, health and disability insurance products, which involves similar legal theories and issues.

EXPERIENCED TRIAL LAWYERS

Ultimately, a client needs an experienced trial lawyer. GRSM is a well-respected litigation firm with a deep bench of trial attorneys who have tried complex cases throughout the United States. GRSM has offices in every state across the country and, as a result, the firm can quickly assemble a team of qualified professionals on short notice no matter where you require assistance.

STATE & FEDERAL SECURITIES LAW VIOLATIONS

GRSM's securities litigation attorneys defend broker-dealers, registered representatives, investment advisers, compliance professionals, public and private companies, their officers and directors and employees, and other sophisticated individuals against alleged violations of the Securities Act of 1933, the Securities Exchange Act of 1934, and state blue sky laws as well as other state and federal laws, rules and regulations. GRSM also defends class actions and private actions arising from securities and bond offerings, mergers and acquisitions, representations in proxy statements and prospectuses and stock purchase transactions.

BROKER DEALER & FINRA ARBITRATIONS

Our securities litigation attorneys represent broker-dealers and other financial professionals in FINRA arbitration and state court actions, in all types of disputes involving all types of products, including allegations alleging securities fraud, suitability, selling away, unauthorized trading, churning, breach of fiduciary duty, failure to supervise, and other related claims. Our attorneys are also experienced in wrongful discharge claims and claims relating to broker recruiting including unfair competition, raiding and breach of contract.