

Securities Litigation

Our securities litigation attorneys represent individuals, including officers and directors, and entities against claims for damages and other relief arising under state and federal securities laws. We also counsel and represent clients faced with state and federal securities investigations and subpoenas, appear on their behalf before arbitration panels and administrative agencies, and represent participants in the securities industry in regulatory proceedings.

In one of our more notable cases, we defended an investment bank in multi-district federal court proceedings against institutional investor claims of breach of fiduciary duty and fraud in the sale of securities (\$15 million preferred note offering) arising under state and federal securities laws. In another, we successfully defended a client in a civil action brought by the Securities and Exchange Commission alleging “insider trading” and fraud in violation of the federal securities laws; the court granted a defense motion for summary judgment and dismissed the SEC’s case. Further, our attorneys also recently successfully represented the former shareholders of an internet services company seeking damages related to breach of contract, fraud and violation of the Ohio Securities Act; judgment was entered for our client in excess of \$18 million. We have also represented a number of public company CEOs and CFOs in consolidated shareholder securities class actions in federal court.

Our Services

- + **Litigation:** representation before state and federal courts
- + **Investigations:** representation of individuals and companies under investigation by the Ohio Division of Securities or the SEC
- + **Administrative law:** representation of individuals and companies licensed by securities regulatory agencies in proceedings initiated by the regulator
- + **Arbitration:** representation in FINRA (formerly NASD) arbitration proceedings

Our Clients

Our clients, from both public and private companies, are those against whom claims are brought arising under state and federal securities laws or for alleged breaches of fiduciary duties. They include:

- + **Corporate officers and directors**
- + **Corporations, partnerships and limited liability entities**
- + **Shareholders**
- + **Issuers of securities**

Contact Us

For more information on our securities litigation capabilities, please contact Loriann E. Fuhrer.

Our Team

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