



# SECURITIES LITIGATION, ARBITRATION, REGULATION AND INVESTIGATIONS

In recent years, federal and state regulation of securities has become more stringent and the amount of cases brought by regulators and private parties have increased dramatically. Riker Danzig Scherer Hyland & Perretti LLP has extensive experience in every aspect of securities regulation and litigation, from handling informal investigations and civil enforcement actions by regulators to representing clients in securities class action suits and individual actions. Riker Danzig's involvement in securities litigation extends across decades and includes many prominent cases. Our securities attorneys continue to successfully represent clients from publicly held companies and their officers, directors, and employees to underwriters, broker-dealers, pension funds and investment companies.

A significant part of our securities law practice involves the representation of registered persons and broker/dealers, their executives, management and brokers, including Wall Street brokerage firms, where customers bring a suit in relation to losses in their brokerage accounts. Our practice encompasses disputes and arbitrations before The Financial Industry Regulatory Authority, as well as federal and state bodies. In the course of our work in securities law, our securities attorneys have represented several of the largest brokerage firms on Wall Street in matters numbering well into the hundreds. These sales practice cases have involved allegations of unsuitability, churning, unauthorized trading, failure to supervise, fraud and breach of fiduciary duty.

We have also handled numerous employment-related disputes that firms have with current or former brokers, including claims for corporate raiding, breach of contractual obligations and post-employment restraints, misappropriation of confidential information and trade secrets.

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