

Corporate and Securities Litigation

Companies, management and shareholders alike have turned to us for guidance and advocacy in corporate and securities litigation. We have represented every type of party in various contests for corporate control, which often include breach of fiduciary duty claims and other allegations of misconduct. When necessary, we have obtained injunctions on behalf of shareholders to prevent corporate and financial institution defendants from holding unlawful meetings and taking improper actions against our clients' interests.

We have also handled individual and class action securities fraud claims, counseling issuers in some cases and defrauded stockholders in others. In doing so, we have litigated issues that involve Rule 10b-5, exchange registration requirements and state Blue Sky laws.

National securities brokerage firms call on our lawyers to handle a variety of customer disputes. We have also defended broker/dealers against class action claims alleging breach of fiduciary duty and failure to disclose material information in connection with taking customer orders to buy or sell stock, handling customer orders, and routing customer orders to appropriate market makers or exchanges for execution. Our firm has handled arbitrations for national brokerage firms before the National Association of Securities Dealers and the New York Stock Exchange.

Representation in regulatory proceedings comprises another major part of our work. Gordon Arata Montgomery Barnett lawyers have represented clients in investigations and other enforcement proceedings before the Securities and Exchange Commission, the Office of the Comptroller of the Currency, the Federal Deposit Insurance Corporation, the Federal Reserve Board and other governmental agencies. These proceedings have covered issues including insider trading, unauthorized trading, the fiduciary duties of officers and directors and corporate control.