



Securities Litigation & Enforcement Defense

Individuals and companies that are governed by the complexities of securities laws are under a constant burden to comply with a multitude of constantly-changing laws and regulations. Coupled with the possibility of investigation or enforcement actions, it can be especially difficult to unravel all the issues and move towards resolution.

At Jaffe, we offer experienced representation in all aspects of Securities Litigation and Regulatory Proceedings. Our cross-disciplinary team collaborates to provide exceptional, results-oriented representation to individuals and companies on a cost-effective basis.

Our attorneys represent brokerage firms, members of the securities industry, and individuals with securities-related issues in litigation and arbitration. This may include customer disputes, employment disputes, motions to compel arbitration, enforcement of covenants not to compete, forgivable loan agreements, and the competitive raiding of employees.

We regularly represent broker-dealers, registered representatives, and investment advisors in a broad range of regulatory investigations, enforcement actions and disciplinary inquiries before the Securities and Exchange Commission, FINRA, State Regulators and the PCAOB. We defend firms and their employees in both formal and informal investigations and proceedings.

Our attorneys share their expertise by maintaining a strong, active presence at industry meetings, presenting seminars, and providing in-house training to brokerage firms on compliance issues. We are arbitrators and mediators in securities disputes and have developed an excellent reputation for producing positive results as skilled negotiators and successful litigators.

Service Index

- Litigation and Arbitration for the Brokerage Industry
- Customer complaints and sales practice disputes (such as suitability, churning, and breach of fiduciary duty claims)

- Employment disputes
- Employment counseling before a change in employment.
- Arbitration eligibility and enforcement of awards
- Recruiting, covenants not to compete, non-solicitation covenants, trade secret, and raiding disputes
- Injunction and other employment transition litigation and arbitration
- Defense of SEC, FINRA and state investigations, enforcement actions and disciplinary inquiries
- Preliminary investigations and subpoena responses
- Preparation of Wells Responses
- Representation at formal proceedings and at trial