



Securities / Broker-Dealers

Securities laws and regulations are routinely changed and reinterpreted by courts and regulators. Changes to rules and regulations could severely impact your case or dispute. Kaufman Dolowich attorneys stay up-to-date on the latest changes and interpretations to the securities laws and regulations. Our firm has defended individuals, corporate officers, registered representatives, and member firms before securities regulators in a wide variety of enforcement matters. We represent clients at each critical juncture in a SEC enforcement proceeding, including from an initial inquiry, through a formal investigation, including responding to administrative subpoenas for documents and “on-the-record” testimony, through the “Wells” process, and during litigation, including during settlement negotiations, pre-trial hearings, administrative hearings, and federal trials.