

Defense of Investment Professionals in Civil Court Actions

The Financial Services Practice at Kaufman Dolowich are a team of seasoned attorneys who defend investment professionals in wide array of civil actions. Our lawyers handle virtually all types of claims brought by customers against broker-dealers, investment advisors, financial planners and other professionals in the securities industry. We understand how sensitive these types of claims can be, and work directly with our securities industry clients nationwide to resolve these matters as quickly and cost-efficiently as possible, to save the clients' money, but also minimize the disruption and adverse publicity that a civil court case can entail. When a case is not amenable to an early resolution, we aggressively defend the case, aided by top standard-of-care expert witnesses and reliable data to challenge inflated damage claims.

Cases alleging investment fraud and misconduct by securities industry professionals are very specialized, sometimes involving complex investment and trading strategies and often influenced by market trends. The attorneys at Kaufman Dolowich have a comprehensive understanding of federal and state securities laws and the securities industry, as well as the market forces that affect investors' results. Our attorneys have decades of collective experience protecting investment professionals against customer claims brought in state and federal courts. Members of our legal team have worked as in-house counsel at brokerage firms and served as former regulators before joining our law firm. We leverage our insiders' perspectives and backgrounds to develop persuasive defense strategies for our clients.

Handling a Full Range of Claims Against Investment Professionals

From the initial dispute through final resolution of the claim, our financial services attorneys focus on providing the highest level of professional service to our clients. We work one-on-one with investment advisors, broker-dealers and other financial services professionals facing a wide range of civil allegations, including but not limited to:

- Breach of Fiduciary Duty
- Churning
- Financial Elder Abuse
- Fraud
- Misappropriation
- Misrepresentations
- Selling Away
- Suitability of Investments
- Unauthorized Trades
- Undisclosed Compensation

In every matter that we handle our lawyers provide clients with an early and objective evaluation of the cases brought against them. We understand that taking a case to court not only involves substantial time and money, it can also jeopardize our clients' reputations and good standing in the community. We also recognize that these types of matters can lead to licensing actions which have the potential to destroy businesses and careers.

While many cases against investment professionals are dismissed early on or settled during negotiations or through alternative dispute resolution ("ADR"), including mediation and arbitration, Kaufman Dolowich attorneys are fully prepared to defend brokers-dealers, investment advisors and other securities industry professionals through trial and appeal. We are experienced litigators who know that providing judges and juries with a clear and accurate picture of our clients' professional investment strategies gives our clients the best chance of achieving a favorable outcome.

For example, we successfully defended a case in court where we obtained a unanimous defense jury verdict in a rural California county for an advisor who had recommended his client purchase a small strip mall as an income-producing vehicle. The mall proved to be riddled with issues that made it unprofitable and difficult to resell. Whether the venue is state or federal, Kaufman Dolowich's financial

services group of experienced attorneys stand ready to help clients navigate through the treacherous waters of civil litigation.