

Katten

Katten Muchin Rosenman LLP

FINANCIAL SERVICES LITIGATION

Our Clients

Katten's Financial Services Litigation team provides thoughtful, effective and efficient representation to members of the financial services industry ranging from the largest global investment banks to individual investment professionals. Our clients include swaps and foreign exchange dealers, broker-dealers, futures commission merchants, national securities exchanges and their members, sponsors of alternative trading systems, registered investment advisers, hedge fund managers, proprietary trading firms, clearing firms, and officers and directors of these organizations.

Our Services

Katten's financial services litigators, many of whom are former federal prosecutors and regulators, have successfully litigated complex, high-stakes disputes in federal and state courts across the country, and before administrative law judges, business conduct committees and arbitration panels. We understand the structure, risk and regulatory context of the full spectrum of financial products, from exchange-traded securities, options, futures and funds, to the most sophisticated over-the-counter (OTC) swaps and derivatives. We also have a deep understanding of floor-based open-outcry trading venues, fully electronic trading platforms and clearinghouses, and traditional OTC dealer-to-dealer markets.

Katten attorneys frequently represent clients in Securities and Exchange Commission (SEC), Commodity Futures Trading Commission (CFTC) and Department of Justice (DOJ) investigations and enforcement actions, self-regulatory organization (SRO)

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- *BTI Litigation Outlook 2018*
 - Securities and Finance Litigation Honor Roll
- *The Legal 500 United States*
 - Financial Services: Litigation 2018, 2017



regulatory disputes, administrative proceedings and private civil litigation. We have particular experience in planning, conducting and reporting the results of internal investigations for boards of directors, audit committees and special litigation committees. We have investigated allegations of insider trading, front-running, market manipulation, improper order internalization, unethical floor trading and sales practices, disruptive trading, mismarking of securities, and inadequate or misleading investment disclosures.

We represent financial services clients in disputes arising out of all aspects of their businesses, including mergers and acquisitions, customer and competitor complaints, shareholder class actions and derivative claims, employee controversies, and intellectual property disputes.

Our industry knowledge and trial skills produce results: The Financial Services Litigation team crafts and executes effective litigation and dispute resolution strategies that are tailor-made to serve our clients' broader business objectives.