



Securities Litigation



At a Glance

Proven Securities Professionals

Munck Wilson Mandala advises clients on the complex legal issues relating to securities litigation and our professionals have swept in and saved clients in ongoing investigations where other firms have failed.

Collaborative Approach

Our in-depth understanding of the securities industry combined with the talents of our nationally recognized trial practice enables us to achieve our clients' objectives while resolving issues in an efficient and expedient manner.

Overview

Munck Wilson Mandala offers a full range of services to issuers, financial institutions, broker-dealers, investment advisors and individuals involved in securities litigation. Whether the matter involves state or federal trial court proceedings, civil appeals, FINRA arbitration, or administrative investigations and enforcement actions by the Securities and Exchange Commission (SEC) or state securities regulators, our team can provide the skilled, responsive, cost-effective counsel our clients need in these sophisticated disputes.

Federal and state securities regulation is constantly changing. Our in-depth understanding of the securities industry enables us to focus on our clients' objectives while resolving issues in an efficient and expedient manner. We have successfully represented clients facing millions of dollars in damages and resolved their cases, coming in clutch when they were facing seemingly hopeless battles against state or federal regulators.

We advise and represent clients in both informal and formal SEC investigations, as well as in civil litigation filed by the Commission. We have defended proceedings brought by court-appointed receivers. We also provide effective representation to clients in investigations, cease and desist actions and other enforcement proceedings conducted by state securities agencies, and in enforcement or de-listing proceedings before national securities exchanges.

An oil and gas client, assisted by Munck Wilson Mandala, successfully beat the odds. The MWM team demonstrated the client did not misrepresent its investments and because the investments were sold as a general partnership and not sold as securities, they did not fall under securities law jurisdiction.

MWM securities litigation case 2017