



Securities Litigation and Enforcement

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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. To manage litigation risk in that environment, clients require experienced counsel. Munck Wilson Mandala is an ideal choice for clients involved in securities litigation and enforcement matters. We bring to each matter the combined talents of our nationally recognized trial practice and our knowledgeable, seasoned securities and corporate lawyers. Our in-depth understanding of the securities industry enables us to promote our clients' objectives while resolving issues in an efficient and expedient manner.

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.

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