

SECURITIES LITIGATION & ENFORCEMENT

OVERVIEW

Bryan Cave Leighton Paisner's Securities Litigation and Enforcement group handles all types of matters arising under the US federal securities laws, including investigations by the SEC and other regulatory agencies, class actions and other private civil lawsuits. We also advise broker-dealers, public companies, investment funds and individuals on compliance matters. We have experience as well in acting as special or independent counsel, representing Audit or Special Committees or as independent monitor.

The group includes lawyers who have held senior positions at the SEC, United States Attorneys' Offices, and other government agencies, as well as other lawyers with years of experience advising on and litigating securities matters. Our clients include corporations, officers and directors, broker-dealers, investment advisers, hedge funds, mutual funds, audit firms, registered persons and others involved in the capital markets. Our team is located throughout the United States.

We regularly represent clients in the following areas:

- Investigations, enforcement proceedings and disciplinary actions by the SEC, U.S. Attorneys' Offices, Financial Industry Regulatory Authority (FINRA) and state securities commissions
- Private securities litigation, including class and derivative actions, private equity and hedge fund litigation, institutional and high-net-worth customer arbitrations, and litigation over derivatives and structured financial products, mergers and acquisitions and corporate governance
- Compliance, including advice on regulatory audits, company policies and codes of ethics
- Internal and independent investigations, directed by in-house counsel, audit committees, or other groups of independent directors, or by independent monitors or trustees, receivers or examiners

MEET THE TEAM



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SEC Enforcement Tea Leaves: Expected Priorities in the Second Trump Administration

In this article, attorneys from BCLP's Financial Services Disputes and Investigations (FSDI) team predict the next Administration's SEC Enforcement priorities. The FSDI team includes former SEC, FINRA, and CFTC enforcement attorneys and former federal prosecutors. The team advises clients on SEC and FINRA enforcement, and other securities litigation, matters. How will President-elect Trump's reelection impact the SEC's enforcement priorities? We looked for clues from the first Trump Administration's Enforcement program, and also from the agency's current Republican Commissioners. In the new Administration, we expect the SEC (1) to emphasize protecting retail investors, (2) to refocus crypto enforcement actions on fraudsters, and (3) to take a more conservative approach to corporate disclosure and cybersecurity cases.