



# SECURITIES REGULATORY LITIGATION & COMPLIANCE

Peckar & Abramson represents clients in civil and criminal proceedings, including internal investigations, related to the regulation of financial markets and private litigation involving market participants.

Our experience includes the successful representation of public and private companies, investment banking firms, officers and directors, retail brokerages, firms specializing in trade execution and clearing, banks and other financial institutions, hedge funds and accounting firms. In addition, we represent lawyers and law firms arising out of their representations of financial market participants, as they have increasingly come under civil and regulatory focus and private litigation efforts.

## Financial Market Regulation

We represent clients in government agency investigations and enforcement proceedings brought by exchanges, self-regulatory organizations, government agencies, local civil and criminal prosecutors/regulators and foreign securities regulators.

## Private Litigation

We've achieved successful outcomes for clients in class actions, derivative lawsuits and arbitrations, including matters in which fraud and accounting irregularities were alleged.

## Relevant Experience

We assist clients with issues such as:

- Stock option grant backdating
- Mutual fund market timing
- Late trading
- Allegations of market manipulation
- Accounting and financial disclosure issues
- Securities registration issues
- Executive conduct and compensation
- Sales practices
- Failure to supervise
- Clearing and trading irregularities
- Trade reporting violations
- Sales practice rule violations
- Insider trading issues
- Allegations of misconduct on the part of professionals (including lawyers and accountants) in public offerings and financial reporting

## Regulatory and Government

We represent clients before exchanges, regulatory agencies, self-regulatory organizations including the:

- U.S. Securities and Exchange Commission (SEC)
- U.S. Department of Justice (DOJ)
- Manhattan District Attorney's Office
- New York State Attorney General's Office
- Financial Industry Regulatory Authority (FINRA, formerly known as NASD)
- U.K. securities regulators
- Swiss securities regulators