

## Securities & Financial Litigation

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### Practices & Sectors

Foreign Corrupt  
Practices

### Specialty Teams

Whistleblower Team

### William L. Prickett

Practice Group  
Chair

### Kevin J. Lesinski

Practice Group Co-  
Chair

With a national practice spanning industries such as technology, biotech and financial services, Seyfarth Shaw's Securities and Financial Litigation team represents companies and individuals in a wide variety of securities and financial disputes.

Our team brings many decades of experience in successfully defending businesses and their officers and directors from regulatory investigations, shareholder class actions, derivative claims, and allegations regarding insider trading, executive compensation, False Claims Act, whistleblowers and other alleged violations. Our team also has deep experience representing accounting firms and other financial services companies in a wide variety of securities, governance and malpractice related issues.

For all of our clients, we strive to eliminate or reduce exposure early on by fully exploiting the in-depth knowledge of our team, which includes former members of government regulatory and enforcement agencies. We advise and counsel our clients on how to proactively avoid or reduce exposure by employing proven tactics such as staying ahead of regulators through prompt internal investigations and thoroughly analyzing strategic defenses and responses to claims when they are asserted. We provide our clients with practical advice in minimizing their risk every step of the way as an issue develops and in navigating the complex bureaucracies involved in parallel government investigations and private litigation.

Often, we successfully obtain dismissals of claims filed against our clients and can position our clients quickly for summary resolutions that avoid the uncertainty and costs of trial. We have an enviable track record in successfully advocating for and negotiating no-sanction or reduced sanction recommendations from the Securities and Exchange Commission and other regulatory agencies.

To reduce or avoid potential problems, we help ensure that the internal policies of our clients are secure and up-to-date. For instance, we draft and review internal procedures and protocols to ensure compliance with Sarbanes-Oxley, the "adequate supervision" provision of the '34 Act, corporate controls, insider trading policies and other related regulatory guidelines. We advise officers and directors regarding fiduciary duty and corporate governance issues and assist in risk assessments, audits and the development of liability avoidance programs. When litigation is unavoidable, our strategic-thinking and experienced attorneys aggressively pursue positive results for our clients.

At Seyfarth, we are committed to providing quality service and value, as evidenced by our innovative use of our industry-leading model, *SeyfarthLean*. Attorneys in Seyfarth's Securities & Financial Litigation Practice Group have worked together to apply *SeyfarthLean* to the services we provide our financial services clients. Our goal was to create a more efficient way to deliver these services and develop alternative fee approaches based on a solid understanding of the time and resources needed to perform the service.

As a result, we are often able to offer fee alternatives to various phases of securities or other D&O litigation, thus advancing our overall goal of transparent pricing and responsiveness based on the actual tasks involved and level of staff needed to provide those services.

