

Morgan Lewis's Securities Industry Practice is one of the largest and most sophisticated in the country.

Our practice combines the skills and expertise of nearly 200 lawyers, many of whom joined us after distinguished careers at the SEC, FINRA, DOJ, DOL, and IRS. Our team includes regulatory, enforcement defense, litigation, employment, and M&A lawyers who are dedicated to representing leading investment banking and brokerage firms, investment advisers, mutual fund companies, and institutional investors. To provide comprehensive and integrated advice to our financial services clients, our team draws on the firm's broader strength and expertise in areas including tax, employee benefits and ERISA, antitrust, intellectual property, and technology law.

Standout Securities Enforcement and Litigation Team

We have one of the leading securities enforcement practices in the industry. Our clients include nearly all of the major international and US regional and local financial institutions, including banks, broker-dealers, and investment management firms, as well as their senior executives, in investigations that span all aspects of the securities markets. Our lawyers regularly appear before SEC, DOJ, CFTC, FINRA, and state securities regulators and attorneys general. Our trial-seasoned securities litigators defend financial institutions, public and private companies, and officers and directors in various matters, including class actions, lawsuits asserting violations of federal and state securities laws, and shareholder derivative actions and claims challenging mergers and acquisitions, as well as routinely advise audit committees and special litigation committees. The team, which includes a *Law360* "Securities MVP" and a fellow of the International College of Trial Lawyers and American College of Trial Lawyers, frequently obtains dismissals in the early stages of litigation.

Leading Securities Industry Regulatory Counseling Lawyers

In today's highly regulated environment, we advise US and global financial services organizations on regulatory issues affecting their operations. We support the activities of diversified financial services firms in their securities, bank, asset management, and insurance activities, as well as their core internal operations and governance activities. Many of our lawyers have experience working at federal regulatory agencies and in senior in-house positions, which allows us to counsel clients on key legislative and regulatory developments.

Top-Tier Labor and Employment Capabilities

Our labor and employment team is nationally recognized, and its lawyers have substantial backgrounds in counseling and representing financial services clients. We represent clients in arbitrations and single-plaintiff litigation and class actions cases involving a wide range of employment-related issues, including wage and hour lawsuits, claims of age discrimination, disability discrimination, sex discrimination, sexual harassment, wrongful denial of bonus, compensation disputes, and defamation.

Premier M&A Practice

For decades, Morgan Lewis lawyers have provided sophisticated and cost-effective representation to the nation's leading banks, broker-dealers, investment banks, mutual funds, hedge funds, and other financial institutions. Our lawyers offer a diverse mix of financial services expertise as it applies to M&A in the financial services sector and are among the most respected across the industry. We provide clients with leading industry experience, a broad M&A practice, deep regulatory knowledge, and extensive contacts and credibility with industry regulators.