

SECURITIES LITIGATION

Maynard Cooper & Gale offers a full array of legal services to a broad and diverse client base including Fortune 500 companies. The attorneys in Maynard Cooper's securities litigation practice offer extensive experience in all facets of securities litigation and regulatory matters. While Maynard Cooper's offices are located in Alabama, the firm's litigation/arbitration practice spans the country. The firm has handled thousands of securities arbitrations in 44 states and internationally during the past 10 years, serving numerous broker-dealers, national insurance carriers and financial services clients.

The firm regularly represents broker-dealers in arbitrations before the Financial Industry Regulatory Authority Dispute Resolution (FINRA) panels and in state and federal courts across the country. While Florida and California have somewhat unique state licensing requirements for arbitration, several in our group are licensed in these jurisdictions.

Our securities practice has significant expertise in defending allegations involving alleged undisclosed conflicts of interest among the various departments within a financial company (e.g., research, investment banking, etc.), and we regularly handle the more typical customer disputes, including claims involving unsuitability, churning, unauthorized trading, and "selling away," among others.

Maynard Cooper represents individual and corporate defendants in complex securities litigation involving claims and issues under the 1933 and 1934 Acts, the Private Securities Litigation Reform Act, and the Securities Litigation Uniform Standards Act.

Our attorneys routinely defend individuals and firms in regulatory investigations and proceedings by the Securities and Exchange Commission, FINRA, the Alabama Securities Commission, and other state regulators. We value our good working relationships with the Alabama Attorney General and with the Director and General Counsel of the Alabama Securities Commission.

Practice group leader Peter Fruin was named a Law360 Securities MVP in 2016—one of only five lawyers in the country to receive this designation.

COMPLEX CASE EXPERIENCE INVOLVING DIVERSE FINANCIAL PRODUCTS:

Structured Products	CDOs, CMOs and other asset backed securities
Auction Rate Securities (public and private)	Derivatives
Exchange Traded Funds	
Preferred Securities	
Open-end and Closed-end Bond Funds	

**HIGHLY
REGARDED**

RECOGNIZED AS A HIGHLY
RECOMMENDED FIRM BY
BENCHMARK LITIGATION

DEPTH

260+ ATTORNEYS IN 6
OFFICES NATIONWIDE

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