



Financial Services and Securities

Vandeventer Black's capability in professional liability matters includes significant experience in Financial Services and Securities disputes. Our clients have included investment advisors, broker-dealers, investment banks, commercial banks, wealth management firms, and hedge funds, as well as their senior managers and registered representatives. We have also represented accounting firms and other businesses facing securities claims and related issues.

Our firm brings efficient, focused capability to bear in such matters. We have also served as local or co-counsel to leading national law firms.

This experience can be categorized in three general areas:

Litigation and arbitration:

We have represented institutional and individual clients facing claims arising under the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisors Act of 1940, the Uniform Securities Act, and a variety of fraud and other common law claims. These cases have involved a number of investment products, services and transactions. These matters include cases brought in the U. S. District Courts, U. S. Bankruptcy Courts, state courts, administrative agencies including the Virginia State Corporation Commission, and in arbitration before a variety of sponsoring and self-regulatory organizations.

We have also represented financial service and other business clients in claims involving credit issues, lender liability, deepening insolvency, and various business torts.

Regulatory and Enforcement:

We have represented clients in investigations, compliance and enforcement matters brought by the enforcement divisions of the Securities and Exchange Commission, FINRA, NYSE, MSRB DOJ, and the regulatory agencies of various states, including Virginia's State Corporation Commission.

Employment:

We frequently represent financial service employers in matters involving recruiting, "on-boarding," licensing, compliance, supervision, control-person liability, and other employment matters which have unique considerations given the specialized nature of these businesses, as well as the extensive regulatory oversight, legislation and rule-making at the federal and state levels.

Practice Attorneys

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