

# Ronak V. Patel

Shareholder

**Practices:** Securities Litigation & Enforcement; Business Litigation; Cybersecurity

Ronak Patel is a member of Winstead's Litigation Practice Group and Securities Litigation & Enforcement Practice Group. He focuses on a wide range of securities regulatory and litigation matters. He is an experienced litigation attorney who possesses extensive regulatory experience with securities regulatory agencies across the U.S.

Before establishing his private practice, Ronak served as Deputy Securities Commissioner of Texas. He held numerous leadership positions with the North American Securities Administrators Association (NASAA), working very closely with state and federal securities regulators across the country. As a regulator, he led the prosecution of a number of high profile investigations involving matters such as the 2008 failure of the auction rate securities market, Ponzi schemes, broker misconduct and complex investment products. Patel now draws on that experience to navigate broker-dealers and investment advisers through complex regulatory investigation, enforcement actions, and litigation involving allegations such as failures to supervise, fraud, and breach of fiduciary duty.

Patel practices before the Texas State Securities Board, the Massachusetts Securities Division, the Florida Office of Financial Regulation and many other state securities regulators as well as the Securities and Exchange Commission (SEC), Financial Industry Regulatory Authority (FINRA), Consumer Financial Protection Bureau (CFPB), and the Commodity Futures Trading Commission (CFTC). He represents broker-dealers, investment advisers, hedge funds and other private funds, public companies, asset managers, gate-keepers, and other institutions in government investigations, securities law enforcement matters and related litigation.

## Professional & Community Service

- State Bar of Texas
- Texas Advocacy Project, Board Member

## Awards & Recognition

- NASAA Patricia D. Stuck Award, 2016
- NASAA Outstanding Team Service Award (Dodd-Frank Studies Working Group), 2011
- NASAA Outstanding Team Service Award (Auction Rate Securities Task Force), 2010

## Admissions

- Texas, 2002



### Austin Office

512.370.2892 Direct  
512.370.2850 Fax  
rvpatel@winstead.com

### Education

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Baylor Law School  
– J.D., 2002

Baylor University  
– B.S., 1999