

Securities Litigation & Enforcement

Selecting the right counsel is of paramount importance in securities litigation and enforcement matters. Winstead's Securities Litigation and Enforcement Practice Group is led by an attorney who formerly served in a senior position with the United States Securities and Exchange Commission and is complemented by a deep bench of attorneys who collectively have decades of private practice experience. Together, they offer business and individual clients a wealth of experience and a clear-eyed view of securities litigation and enforcement considerations.

Our securities enforcement team represents broker-dealers, investment advisers, fund managers, public and private companies, regulatory counsel, directors and officers, and other individuals on complex regulatory and compliance matters and through all stages of investigations initiated by the U.S. Securities and Exchange Commission (SEC), the Texas State Securities Board, Financial Industry Regulatory Authority (FINRA), U.S. Department of Justice (DOJ), and other state and SRO securities regulators.

The following is a snap shot of Winstead's Securities Litigation and Enforcement Practice Group strengths:

- Capital markets and securities fraud litigation, including class action defense
- Broker-dealer and RIA private client and industry arbitrations and disputes
- SEC/State/FINRA/SRO enforcement and regulatory matters, including investigations and disciplinary actions
- Internal investigations
- SEC/SRO enforcement, regulatory matters and internal investigations
- Whistleblower claims
- White collar criminal defense
- Financial services industry disputes, including trust and fiduciary litigation

Areas of Focus:

- [Securities Regulatory & Enforcement](#)
- [Securities Litigation & Arbitration](#)

Related Capability:

- [White-Collar Defense](#)

WinsteadSecuritiesDefense.com

The Securities Litigation and Regulatory Enforcement resource blog provides legal news, trends, and insights into navigating the complexities of the Securities Exchange Commission, U.S. Department of Justice, Financial Industry Regulatory Authority, Texas State Securities Board, and other state securities regulators. This is a go-to resource for broker dealers, investment advisers, general counsel and directors and officers throughout Texas and across the nation. [Subscribe here](#) to receive news alerts, insights and educational webinars covering issues impacting securities litigation and regulatory enforcement.