



# Securities Litigation and Arbitration

Since the firm's founding, Chapman attorneys have been representing clients facing legal challenges involving complex financial instruments, including sophisticated asset-backed securitizations, portfolio acquisitions, swaps and derivatives, and other debt and investment financing vehicles. Our Litigation Group is routinely called upon to resolve difficult matters arising from a wide range of securities laws and regulations, both in governmental investigations and inquiries and in private transaction-based disputes.

**Arbitration and Litigation.** Chapman has represented a wide range of financial institutions and individuals in securities fraud matters in state and federal courts, as well as arbitration panels before the AAA, FINRA, and the CME.

**Enforcement Proceedings.** Chapman represents clients responding to inquiries, investigations, and enforcement proceedings by securities industry regulatory bodies, including the SEC, FINRA, NYSE, MSRB, and CME.

## REPRESENTATIVE MATTERS

- Obtained settlement to end drawn-out litigation in two shareholder derivative actions on behalf of a bank, as trustee shareholder, and bank officers serving as separate directors.
- Negotiated and obtained approval of a reorganization plan to settle an SEC case brought against areas of religious denomination without bankruptcy or receivership. We also successfully defended the church's directors in the face of the SEC investigation.
- Represented the chief executive officer of a target company against whom an SEC enforcement action was brought, resulting in no action taken against the CEO.
- Secured denial of all claims against a client in the Chicago Mercantile Exchange arbitration regarding ownership of CME membership, Exercise Right Privilege, and CME stock.

## Attorneys

David T.B. Audley  
Matthew C. Boba  
Joseph P. Lombardo  
Eric Silvestri

## Related Practices

Bank Defense  
Commercial Foreclosure and  
Real Estate Litigation  
Commercial Litigation and  
Alternative Dispute  
Resolution  
Consumer Finance Litigation  
Employment Law  
Environmental Advice and  
Litigation  
Fiduciary Litigation  
Merchant Bank Credit Card  
Processing Claims

- Obtained favorable decision in AAA arbitration for broker/dealer client on claims, brought by former broker, of improper completion of FINRA U-4 Form and defamation.
- Guided a senior manager for a large banking client, who was a potential witness in a major securities fraud prosecution, through interviews with the FBI and Department of Justice, and managed the client's response to investigative inquiries.