

## Securities Compliance & Defense

Stoll Berne represents a number of select national, regional, and local securities broker-dealers and brokers in disputes with customers, with other broker-dealers, and before regulators.

We have represented a national broker-dealer in defending contract and intentional interference claims by a broker who was seeking \$18 million in damages. The ultimate award against our client was less than \$50,000.

In another case, we obtained a favorable settlement at minimal cost to our broker-dealer client in defending securities fraud claims by investors who were seeking in excess of \$20 million.

Our firm has also had success in handling disciplinary and regulatory proceedings involving the SEC and FINRA. In one instance, we tried a case in which the regulators were seeking a full suspension for nearly one year against a broker. After a full regulatory hearing, the panel declined to require any suspension of the broker.



## We Fight Hard for Our Clients

### Securities Compliance & Defense Attorneys



**Steven Berman**  
Attorney



**Keith Ketterling**  
Co-Managing Attorney