

## Securities

### Navigating the Market

Over the last several years, incidents of insider trading, embezzled employee pensions, and securities fraud have littered the landscape of corporate America. Businesses and corporations can find themselves in a legal minefield if not educated and equipped to handle the complications of securities regulations.

Brooks Pierce securities attorneys provide the counsel companies and individuals need. Our team includes a certified CPA and a skilled negotiator who has counseled securities transactions in excess of \$1 billion.

Our services include:

- Securities counsel – our attorneys assist corporations, publically-traded companies, private fund managers, and investment advisers on remaining compliant with federal and state law while conducting securities transactions. We also counsel businesses on initial public offerings and underwriting public securities offerings.
- Internal investigations – We conduct internal corporate investigations to ensure compliance with state and federal securities laws. We also represent companies and individuals facing action from state and federal authorities. Our attorneys have tried cases before the SEC, Commodity Futures Trading Commission, the Consumer Financial Protection Bureau, and the U.S. Department of Justice. We have also represented clients in arbitrations before FINRA involving alleged securities violations.
- Civil and criminal litigation – Our firm defends clients in claims brought against them by debt holders, shareholders, and employee stock ownership plans.
- Regulatory filings – We also assist companies in remaining compliant with filing 10Ks, 10Qs, proxy statements, and disclosure statements.

Brooks Pierce brings years of highly regarded and awarded experience to companies of all sizes, understanding the complexities of the securities field and focusing on the nuances of each client's needs.

How can we help your business navigate the market?

### PEOPLE

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## NEWSROOM

### News

Brooks Pierce Receives 41 Tier-One Rankings in 2023 "Best Lawyers"  
11.03.2022

*Benchmark Litigation* Recognizes 16 Brooks Pierce Attorneys  
10.13.2022

Brooks Pierce Receives 40 Tier-One Rankings in 2022 Edition of "Best Law Firms"  
*U.S. News - Best Lawyers*® "Best Law Firms", 11.04.2021

Iain MacSween Discusses IPO Disclosures with Law360  
*Law360*, 08.17.2018

David Smyth Discusses Charity and Compliance for Pharmaceutical Compliance Monitor  
02.23.2016