



SECURITIES LITIGATION

Ray Quinney & Nebeker has one of the largest and most experienced securities litigation sections in Utah with over 100 years of combined experience handling securities disputes of all sizes and types. We have the resources to handle disputes of virtually any size and the members of our group have recently obtained multi-million dollar settlements or awards in FINRA disputes.

Members of our Securities Litigation Group have handled a wide variety of securities-related litigation cases including:

- Representation of investors, institutional investors, municipalities, investment funds, and public companies in a wide range of investment-related disputes;
- Representation of brokerage firms, stock brokers and registered investment advisers in regulatory investigations, licensing disputes and administrative actions by both state and federal regulatory bodies, including the Financial Industry Regulatory Authority, Inc. (FINRA), the Securities Exchange Commission, the Commodities Futures Trading Commission, and the Utah Division of Securities;
- Handling employment-related claims involving stock brokers, including promissory note disputes, non-compete agreements and misappropriation of trade secrets or confidential information;
- Representation of individuals, officers, directors and institutional clients in complex securities disputes including shareholder disputes, class-action litigation, derivative litigation, M&A litigation, internal investigations, and investigations and enforcement actions by the Securities and Exchange Commission, Department of Justice and state attorneys general;
- Securities-related RICO, FCPA and antitrust litigation matters; and
- State and federal whistleblower claims.

If you wish to speak with an attorney about your needs and questions in any of these areas, please contact the chair of our section:

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