

Securities Enforcement

Amundsen Davis attorneys handle investigations and cases brought by the U.S. Securities and Exchange Commission (SEC), Financial Industry Regulatory Authority (FINRA), regional exchanges, and state attorneys general and securities regulators. These matters range from informal inquiries and formal investigations to administrative proceedings, subpoena requests for documents, and settlement negotiations with regulators.

Amundsen Davis represents plaintiffs and defendants in a variety of litigated matters under all of the federal securities laws, including: the Securities Act of 1933, as amended; the Securities Exchange Act of 1934, as amended; the Investment Advisors Act of 1940, as amended; and the Investment Company Act of 1940, as amended.

Our firm represents corporations, partnerships, securities exchanges, broker-dealers and other securities professionals, directors, officers and other parties in class, derivative and other litigation involving charges of fraud, inadequate disclosure, violation of regulatory requirements, and breach of fiduciary duty.

Experience

Prosecuted Individual Shareholder's Breach of Fiduciary Duty and Minority Oppression Claims to Judgment

Defended Majority Business Owner Against Claims in Excess of \$2 Million

Firm News

Attorney Steven Sims Joins Amundsen Davis's Corporate Practice Group
January 2, 2020

Events

Corporate Governance: From Nuts and Bolts to Trending Topics
Speaking Engagement, Illinois Chamber of Commerce, Webcast, September 21, 2022

The Corporate Paralegal: Overcoming Top Challenges
Speaking Engagement, Institute for Paralegal Education; Webinar, March 8, 2018

PROFESSIONALS

Eric M. Fogel
Partner

Vic Peterson
Partner

Steven K. Sims
Partner

Daniel Spungen
Senior Counsel

Karen A. Tobin
Partner

RELATED SERVICES

Corporate & Securities

Published Works

State of Illinois Force Majeure Law Compendium (during COVID-19 pandemic)
USLAW, June 5, 2020

Blog Posts

Impact of the SEC's 2024 Examination Priorities Report for Investment Advisers
Corporate News: A Legal Update, March 21, 2024

What the SEC's New Strategic Plan Means for the Financial Industry and Investors
Corporate News: A Legal Update, September 7, 2022

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