



# Securities Litigation and Enforcement

Hinshaw represents individuals, corporations, and securities professionals and firms in matters involving securities litigation or investigations. With offices across the United States—from financial centers to other hubs of commercial activity—and attorneys who possess a range of governmental, regulatory and defense experience, we assist clients with regional or national operations and issues. We regularly advise clients on issues relating to securities trading, shareholder litigations, Foreign Corrupt Practices Act matters and Sarbanes-Oxley compliance. We represent individuals and entities in their interaction with the Financial Industry Regulatory Authority, the U.S. Securities and Exchange Commission, and the U.S. Department of Justice. And we vigorously and effectively defend those who have become the subject of shareholder, regulatory or criminal proceedings.

## Experience

- After prevailing on motions to suppress seized evidence in precedent-setting decision, obtained dismissal of federal criminal indictment and resolution of proceeding filed against chief executive officer of publicly trading company
- Obtained acquittal, after 11-month trial, of insurance executive charged with antitrust violations including price-fixing and bid-rigging in the excess casualty market
- Represented publicly traded telecommunications firm on charges relating to revenue recognition and successfully resolved proceeding filed by the SEC
- During trial obtained mistrial and then dismissal of federal criminal indictment filed against securities attorney, based on government misconduct during the trial; The U.S. Court of Appeals for the Ninth Circuit affirmed the dismissal of that indictment
- Obtained reversal of conviction and dismissal of indictment for securities broker whose conviction was based on the government's use of evidence in violation of the Confrontation Clause
- Obtained reversal of conviction and resolution of criminal charges for securities broker charged with securities fraud
- Obtained acquittal, after four-month trial, for securities broker charged with securities fraud and larceny
- Obtained acquittal, after three-month trial, for hedge fund manager charged with fraud in relation to receipt of investor funds

## Attorneys

Mohamed F. Sweify

Kenneth E. Yeadon

## Related Services

Business & Commercial Transactions

Internal Investigations

Regulatory Investigations and Compliance Counseling

White Collar Defense & Internal Investigations



- Obtained acquittal, after seven-month trial, for securities broker, charged with securities fraud
- Obtained acquittal, after six-month trial, for individual accused of tax fraud in relation to sales of diesel fuel

## News

[New York Times, The Guardian and New York Daily News Quote David S. Weinstein Regarding Arrest and Indictment of Ghislaine Maxwell](#)  
July 8, 2020

[Ken Yeadon Talks to Business Insurance about SEC Disgorgement Case Recently Accepted for Review by SCOTUS](#)  
November 14, 2019

[David S. Weinstein Discusses Obligations of U.S. Political Candidates to Report Contact with Foreign Agents](#)  
June 17, 2019

[Ken Yeadon Discusses D&O Claims Impact of a Proposed Change to the SEC Quarterly Report Requirement](#)  
September 28, 2018

[Ken Yeadon Discusses the Impact of the SCOTUS Escobar Ruling, Two Years On](#)  
June 29, 2018

[Ken Yeadon Discusses the Settlements of Two Libya FCPA Cases in Wall Street Journal](#)  
June 8, 2018

[Hinshaw Achieves National and Regional Recognition in 2018 U.S. News - Best Lawyers® "Best Law Firms" Directory](#)  
November 1, 2017

[Recent FCPA Settlements Prohibit Executives from Serving as Officers or Directors of Public Companies](#)  
May 16, 2017

[Highly Anticipated SCOTUS Ruling in SEC Disgorgement Case Could Benefit D&O Insurers](#)  
April 27, 2017

[Hinshaw's Ken Yeadon Considers Possible Changes to DOJ Enforcement Priorities under the Trump Administration](#)  
February 9, 2017

[Is Disgorgement a Fine, Forfeiture, Penalty or Equitable Remedy? The U.S. Supreme Court Will Decide](#)  
February 2, 2017

[Former Assistant U.S. Attorney and SEC Enforcement Lawyer Ken Yeadon Joins Hinshaw in Chicago](#)  
January 25, 2017