

# Securities Litigation

If your company is planning to go public, HSB can help you navigate the law in order to avoid regulatory problems. If you are facing any kind of securities claim, we can provide experienced counsel to defend enforcement actions and find subject matter experts to strengthen your case. Whether we can settle your case through arbitration and mediation or take it to litigation, you can know that your legal team has the expertise to defend your interests and the determination to win.

Securities litigation requires a thorough understanding of Securities and Exchange Commission regulations, including the Securities and Exchange Act of 1934, which regulates stock exchanges and over-the-counter stock sales. Cases may include claims of fraud, misrepresentation, breach of fiduciary duty and more.

#### Our Securities Litigation Attorneys

Amy Benavides  
Dwayne Hermes  
Dan Tostrud

HSB attorneys have experience in every facet of securities litigation. We have defended large broker dealers as well as directors, officers and individual brokers. We work closely with our clients to offer advice on regulatory issues and structuring products and activities to comply with SEC requirements.

