

## ATTORNEYS IN THIS PRACTICE

Shari A. Brandt  
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Sarah P. Swanz  
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Daniel C. Zinman

## RELATED PRACTICES

Business and  
Commercial Disputes  
Capital Markets  
Litigation  
Civil Litigation  
Creditors' Rights and  
Bankruptcy Litigation

## Securities and Shareholder Suits

RK&O's litigators have fought for our clients' objectives in courtrooms and before arbitration panels around the country and throughout the world. We represent clients in class action and derivative cases, multi-district proceedings, parallel state and federal lawsuits, and cases with parallel regulatory and criminal proceedings or investigations. Our clients come to us when a matter requires the involvement of tough, veteran litigators with a sophisticated understanding of both the law and the business considerations underlying a dispute. In representing our hedge fund and financial services clients, we draw upon our industry-specific knowledge of their businesses to help solve their problems effectively and in a cost-efficient manner. We also represent senior management of public and private companies and public company directors who, increasingly, must address a host of corporate governance, regulatory and criminal issues at the same time that they defend themselves in private litigation. We work together with our regulatory and corporate colleagues, as well as former prosecutors and senior SEC officials now with the firm, to bring to bear an unusually broad range of expertise to solve our clients' securities-related problems.

### EXPERIENCE

- Represented hedge funds, banks, and insurance companies in federal securities fraud actions involving hundreds of millions of dollars in damages from alleged financial fraud involving securitizations of asset-backed securities.
- Defended hedge fund and investment adviser in consolidated multidistrict litigation involving class action and derivative claims arising out of mutual fund market timing.
- Represented outside directors of a public corporation in federal and state derivative actions arising out of company's revisions of estimates for proved oil and gas reserves.
- Represented directors of a foreign corporation against claims by a minority shareholder in cash-out merger transaction.
- Represented a venture capital limited partnership in obtaining dismissal of federal court action asserting § 16(b) "short swing" profits claim.

### PUBLICATIONS

"Puncturing a finance myth of the digital age" by Craig Newman published by *The Deal*

"Tribune suits put public liability on trial" by Craig Newman published in the *Financial Times*

"Proposed SEC Rules on Uniform Fiduciary Standard Expected Soon" by Arthur S. Greenspan, published in Bureau of National Affairs *Securities Regulation & Law Report*

"Credibly Defending Against Insider Trading Allegations: *SEC v. Rorech*" by Eva Marie Carney



SECURITIES AND SHAREHOLDER SUITS (Cont.)

PRESENTATIONS

Daniel Stein and Craig Newman to lead "Civil Enforcement Cases: Emerging Trends and Issues in the Wake of the Financial Crisis" PLI briefing

NEWS & ANNOUNCEMENTS

Craig Newman quoted in *The Wrap* article "For Rupert Murdoch, Parliament Report Could Spur U.S. Legal Woes"

Shari Brandt quoted in *Investor's Business Daily* article "Best Buy Botched CEO Exit News But Shined in Probe"

Craig Newman quoted in *Law360* article "With More Investor Safeguards, JOBS Bill Heads To Obama"

Craig Newman quoted in *Adweek* article "How to Get Equity Without Really Trying"

U.S. News-Best Lawyers awards RK&O "Law Firm of the Year" in White Collar-Government Investigations Law and recognizes firm's other practice areas

Neil Binder recognized among *AVENUE* magazine's Legal Elite for second consecutive year