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Investment Advisors

We represent investment advisors in litigation arising from tax shelter advice and transactions; in SEC, IRS, NYSE, and NASD investigations and proceedings; and insider trading litigation. We serve as national counsel to a financial services company against pending class action and individual lawsuits involving RICO, fraud, and other state law claims brought by clients who participated in alleged tax shelters. Among other issues, these cases have involved issues related to the duties of investment advisors.

Many of our attorneys have strong economics backgrounds that enable them to pinpoint the economic, financial, and accounting issues in the cases quickly, select appropriate experts for our clients, and challenge our adversaries' experts efficiently and effectively. Those efforts, combined with the litigation and tax experience of our attorneys, the understanding of the financial products and markets, and the understanding of the tax issues relating to the business activities that gave rise to the dispute, are critical to success in these cases.

In our representation of investment advisors, pension funds, and mutual funds, our work spans the entire range of employee benefits, from the tax-based rules for qualified pension plans, to fiduciary issues, welfare benefits, and plan termination.

Several attorneys have had a special focus over the last several years on fiduciary issues, including prohibited transaction exemption questions under ERISA, especially in connection with financial products. Our attorneys have substantial experience with the exemption and advisory opinion process under ERISA and have worked extensively on legislative issues related to ERISA.