

Financial Services

The global financial services industry faces a constantly changing set of challenges from regulators and litigants. Cozen O'Connor's attorneys keep clients ahead of the curve, providing thoughtful and effective advocacy with each new wave of litigation. They also provide sound approaches to tackling litigation issues that clients have been facing for years.

Our attorneys have experience representing commercial and investment banks; investment funds and money managers; private equity and venture funds; broker-dealers; directors and officers; insurers and reinsurers; and other corporate entities.

Cozen O'Connor assists clients facing regulatory scrutiny, private litigation, or both. We defend clients in civil litigation brought under commercial and investment banking, wealth management, or securities laws and regulations. And we protect clients in governmental investigations and enforcement actions initiated by the Financial Industry Regulatory Authority (FINRA), Securities and Exchange Commission (SEC), Federal Reserve Board (FRB), Federal Deposit Insurance Corporation (FDIC), Consumer Financial Protection Bureau (CFPB), Public Company Accounting and Oversight Board (PCAOB), and other federal and state regulatory agencies.

Our attorneys have an in-depth understanding of modern financial markets and banking. We are positioned to provide strategic litigation advice and advocacy to meet clients' business and legal goals.

We understand that it is critically important to provide clients with both optimal service and cost predictability. Accordingly, we align ourselves with our clients' interests by using strategically sound fee structures and efficient staffing of high-level legal talent. With the resources and geographic reach of a large national firm, Cozen O'Connor can respond quickly to client needs and still provide unparalleled value. We believe in structuring every representation with a mind toward fostering lasting client relationships.

Service Areas

- Banking litigation
- Real estate and collateral-backed loan litigation
- Fraud and breach of duty litigation
- Internal investigations
- Enforcement defense (SEC, FINRA, FRB, FDIC, CFPB, PCAOB, DOJ, and state agencies)
- Securities arbitrations
- Broker-dealer counseling

Experience

Secured a favorable settlement on behalf of the lender of a mortgage loan in a multimillion-dollar suit alleging master servicer and special servicer breaches.

Secured dismissal of a securities fraud complaint filed by two hedge funds against the client, the former president and board member of a New York publicly traded renewable energy company, and several co-defendants. The plaintiffs sued in connection with the loss of their million-dollar private investment in the company, alleging that the defendants made false and misleading statements about the company's ongoing projects and future business prospects. After the firm moved to dismiss on grounds that the plaintiffs failed to meet the Private Securities Litigation Reform Act of 1995's heightened pleading standards, the U.S. Securities and Exchange Commission filed a civil enforcement action against the company and several of the client's co-defendants. The plaintiffs then



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Related Practice Areas

- Commercial Litigation
- Italy Practice

amended their complaint, incorporating the SEC's allegations into the pleading, which required a second round of motions. The court dismissed the case in its entirety, ruling that the plaintiffs had failed to plead facts establishing the necessary elements of a 10b-5 securities fraud claim.
