

Broker-Dealer & Regulatory & Litigation

When SEC-registered broker-dealers face complex regulatory inquiries, regulatory examinations and compliance reviews, Cahill's team engages regulators to create a pathway to a successful resolution. Cahill's broker-dealer team represents broker-dealers and FINRA members in connection with global and domestic regulatory enforcement actions, regulatory requests for information and examinations, compliance reviews and any subsequent litigation that arises.

Cahill's broker-dealer practice has successfully defended clients in matters spanning nearly every aspect of the business, including capital markets trading, commercial, retail and private banking, underwriting and syndicate activities, advisory and research services, and asset management ranging from narrow investigations regarding the activities of individual traders to some of the broadest global financial market inquiries ever undertaken. These include successfully resolving various FX and LIBOR matters, each involving a score of national and cross-border regulators and their follow-on class action litigation.

Cahill is frequently called upon by clients on matters related to complex financial products, cross-border transactions, and credit, rates, and FX derivatives, as well as matters concerning the trading of debt, equities, commodities and foreign exchange.

Cahill is also frequently the first choice of broker-dealers that wish to retain separate counsel for their individual employees under regulatory scrutiny.