

## Securities Enforcement & Litigation

### PRACTICE GROUP LEADER

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Drummond Woodsum's securities enforcement and litigation practice consists of attorneys licensed in Maine and New Hampshire who have litigated precedent-setting securities matters.

Our clients include public companies and their subsidiaries, accounting firms, broker-dealers, investment banks, underwriters, investment advisers, hedge funds, private equity firms, venture capital firms, mutual funds, and law firms. We also regularly represent special committees and audit committees, directors, officers, partners, principals, and employees of such entities.

Our experience includes:

- proxy litigation
- securities fraud or regulatory violations
- breach of fiduciary duty
- mismanagement and negligence
- allegations involving improper financial reporting or other public disclosures
- accounting errors or irregularities
- inadequate internal controls
- Foreign Corrupt Practices Act (FCPA) violations
- insider trading
- stock manipulation
- violations of broker-dealer regulations
- investment adviser and investment company regulations

Several of our attorneys have been recognized as leading lawyers in the fields of securities enforcement and litigation and business litigation. Our ranks include a former Chief Deputy Attorney General of the State of Maine and a former federal prosecutor.

### RELATED PROFESSIONALS

Melissa A. Hewey

David S. Sherman

### REPRESENTATIVE CLIENTS & MATTERS

- Nov. 26, 2013 - acquittal in \$1.6 Million securities fraud case
- Mockler v. Maritimes & Northeast Pipeline, LLC
- Brunswick Technologies, Inc. v. Vetrotex Certaineed Corp.
- Gorman, et al. v. Coogan, et al.
- Executive Risk Indemnity, Inc. v. Speltz & Weis, LLC
- Neely v. Bar Harbor Bankshares
- The Official Committee of Unsecured Creditors of St. Vincent's Catholic Medical Centers of New York, et al. v. Speltz & Weis, LLC a/k/a Wellspring Management Services, LLC, et al.

- Jackson Brook Institute v. Maine Ins. Guar. Ass'n
- Goldenson v. Steffens