

Securities

Stinson has deep knowledge of the securities industry, and has represented investment advisors, investment companies, broker-dealers, and many other industry participants across the spectrum of their businesses. We have worked closely with client management and compliance staffs, and represent clients before the SEC, FINRA, the New York Stock Exchange, state and other local regulatory bodies, as well as attorneys general inquiries and proceedings. In all matters, we strive to understand our client's business objectives and build practical strategies to help achieve them. We are regularly told by securities clients that this business-oriented approach sets us apart from many of our peers.

INVESTMENT MANAGEMENT

We represent investment advisers, broker-dealers, institutional investors, private funds and family offices across the panorama of investment growth vehicles. Our counsel extends across the life cycle of formation, operation and dissolution, including enforcement and litigation matters. We guide the acquisition and sale of investment adviser and broker-dealer companies and assets, including assignment, compensation and retention issues. Our corporate attorneys offer deep insights into the structuring and terms of funds and related transactions, collectively blending financial acumen with cross-practice experience in ERISA, tax and regulatory issues. [Learn more.](#)

SECURITIES LITIGATION, ARBITRATION & ENFORCEMENT ACTIONS

We defend companies and their directors against claims under federal and state securities laws, defeat securities fraud class actions and shareholder derivative cases, and protect broker-dealers in complex disputes. We handle enforcement actions, many of which parallel litigation proceedings, conduct internal investigations, and advise on corporate governance and compliance programs. [Learn more.](#)

STRUCTURED FINANCE & RMBS LITIGATION

Our defense of clients in the mortgage securitization and broader structured finance space spans three decades, encompassing well over 200 proceedings throughout the country. We know the issues, experts, and many of the opposing counsel well. Additionally, we work closely with many other firms that are often called on to defend these multi-defendant proceedings, and are regularly asked to lead the joint defense groups because of our knowledge, skill and ability to keep large groups of defendants strategically aligned. [Learn more.](#)

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STRUCTURED FINANCE & SECURITIZATION

We navigate all aspects of asset securitization and structured finance transactions. Collectively, our attorneys have been involved in hundreds of securitizations, including the issuance of more than \$120 billion of asset-backed securities in the last three years and more than \$15 billion in assets as issuer counsel. We have in-depth knowledge of all classes of mortgage securitizations, emerging asset classes, such as refund anticipation loans and energy-related tariffs, term securitizations, revolving asset-backed commercial paper conduit securitizations, the securitization of residual interests as net-interest-margin securities, and post-securitization creditors' rights. [Learn more.](#)

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RELATED CAPABILITIES

Investment Management

Securities Litigation, Arbitration & Enforcement Actions

Structured Finance & RMBS Litigation

Structured Finance & Securitization

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Stinson Welcomes M&A Partner John Willding to Dallas Office, Bolstering Corporate Finance Bench
05.14.2024

Law360 Highlights Tom Roberts Joining Stinson; Focus on Financial Industry Arbitration, Corporate and Securities Litigation
02.27.2024

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Veteran Securities Litigation Attorney Joins Stinson in New York City

02.16.2024

Best Lawyers® Recognizes Stinson in "Best Law Firms" Report

11.02.2023

Stinson's Noteboom Recognized by *Minnesota Lawyer* as a Top Litigator in the State

10.20.2023

Stinson Adds FinTech and Financial Services Partner to DC Office

10.10.2023

U.S. News, Best Lawyers® Recognizes Stinson in "Best Law Firms" Report

11.03.2022

Noteboom, Schwinger Recognized as Powerful Business Litigators in Minnesota

10.27.2022

Noteboom Honored for Outstanding Board Service by *Twin Cities Business*

08.22.2022

Susan Warshaw Ebner, Steve Quinlivan Receive JD Supra 2022 Readers' Choice Awards

03.08.2022

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11.05.2021

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11.05.2020

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