

Securities and Directors & Officers

Lawsuits don't get any bigger, more important, more complex, or strategically significant than those involving allegations against corporate directors and officers. Carrington Coleman's Directors and Officers practice has effectively represented clients in some of the biggest cases in history. We're known for our ability to prevail against much larger firms, augmented by our reputation for being ready, willing, and very able to try cases in court.

Although the details may vary, our practice centers on representing directors and officers of both public and sizable private companies. These clients operate in many sectors, including (but not limited to) financial services, healthcare, technology, software, and real estate. The cases we handle typically revolve around allegations of breach of fiduciary duty, fraud, and related business torts, brought either by activist shareholders or investors. We are one of a handful of firms on AIG's preferred panel for D&O litigation. We're also Chambers-ranked for this practice.

By Starting Fast, We Finish Strong

Our process begins with a kind of legal triage. We analyze the applicable law, which may vary by state, determine our goals, then figure out the best path to get there. We believe in working hard at the inception of the case in order to influence, and sometimes manage, what happens along the way. We can often identify potential surprises, spot things that could go wrong, and overall, ensure that regardless of a case's size, complexity or stakes, we make the right moves all along the way.

Areas of Focus

- We negotiate and document both acquisition and disposition agreements.
- Broker-dealer litigation – FINRA arbitrations based on a complaint or claim or in which FINRA's examination has led to a decision to take action.
- Defense of directors and officers in lawsuits brought by investors and activist shareholders.
- Derivative actions in which one or more shareholders assert claims on behalf of the company.
- Class action suits brought on behalf of a class of investors alleging misrepresentation or disclosure issues.
- We conduct internal investigations/reviews to determine if claims have merit, often on behalf of independent directors.
- Representation of plaintiffs in shareholder and investor suits against directors and officers.



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