



HELPING YOU NAVIGATE
YOUR LEGAL COURSE



EDGERTON & WEAVER, LLP is a full service law firm providing comprehensive legal solutions to financial institutions, pension plans and investment professionals worldwide. Through hands-on dedication, we manage client matters with direct attention from senior attorneys who possess extensive legal and industry-specific expertise. E&W regularly counsels some of the world's largest and most respected investment companies in securities litigation, arbitrations and mediations, as well as government enforcement actions and corporate compliance matters.

PRACTICE AREAS

E&W attorneys specialize in commercial litigation with a particular emphasis in broker-dealer, hedge fund and insurance defense. We also represent clients in government enforcement actions and provide a full range of corporate compliance counseling. Our clients receive direct attention from senior attorneys with extensive industry-specific expertise.

SECURITIES LITIGATION

E&W attorneys represent clients in trial and appellate courts at the federal and state level, before administrative tribunals and in arbitrations and mediations. We regularly defend some of the world's largest and most respected financial companies in customer disputes, employment, trade secret and corporate raiding cases.

GOVERNMENT ENFORCEMENT LITIGATION

E&W attorneys represent financial planners, investment advisers, money managers, hedge funds, banks and broker-dealers before the CFTC, DOJ, NASD, NYSE, SEC and the Department of Labor. We offer a full range of counseling for clients at all stages of enforcement proceedings, including informal inquiries, administrative actions and formal investigations.

REGULATORY COMPLIANCE

E&W attorneys provide counsel and compliance outsourcing to financial companies, pension plans and investment professionals striving to stay abreast in today's rapidly evolving regulatory environment. We assist corporate counsel in reviewing,

initiating, executing and overseeing ethics and compliance programs. We also provide comprehensive consultation to boards of directors and special committees concerning corporate governance matters. Our attorneys have specialized knowledge of the challenges facing financial companies attempting to attain compliance with the Gramm-Leach-Bliley Act (GLBA), the Employee Retirement Income Security Act (ERISA), the Pension Protection Act (PPA), the Sarbanes-Oxley Act (SOX) and the USA PATRIOT Act, as well as the regulatory mandates of the CBOE, CFTC, NASD, NYSE and SEC. Given our extensive experience in securities defense, E&W attorneys have the foresight to counsel our clients in developing procedures to avoid prospective exposure.





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CLIENTS

E&W specializes in securities brokerage defense and represents many of the world's largest and most respected financial institutions on an ongoing basis. In addition, as a part of the defense panel for large insurers, we represent many small broker-dealers and individual brokers.

Our clients include:

AIG Financial Advisors, Inc.	Jefferson Pilot Financial Insurance Company
AIG SunAmerica, Inc.	Locust Street Securities, Inc.
Ameriprise Financial Services, Inc.	MCL Financial Group, Inc.
Associated Securities Corp.	Multi-Financial Securities Corporation
AXA Advisors, LLC	National Planning Corporation
Brookstreet Securities Corporation	Pershing LLC, Bank of New York Securities Group Company
CNA Financial Corporation	Primevest Financial Services, Inc.
Crowell Weedon & Company	Raymond James Financial Services, Inc.
Financial Network Investment Corp.	Royal Alliance Associates, Inc.
FFP Securities, Inc.	Securities America, Inc.
FSC Securities Corp.	Sentra Securities, Inc.
First Allied Securities, Inc.	SII Investments, Inc.
First Financial Planners, Inc.	Spelman & Co., Inc.
First Wall Street Corp.	Sun America Securities, Inc.
First Western Advisors	United Planners' Financial Services of America
Hartford Financial Services Group, Inc	Washington Square Securities, Inc.
IDS Life Insurance Companies	Western Reserve Life Assurance Co.
IFG Network Securities, Inc.	
ING Advisory	