

K&L GATES ARBITRATION GROUP - SECURITIES CASES

Client	Adversary	Nature of Case	Location	Forum	Contact
1. Securities broker-dealer and individual broker	Individual investor.	Claimant sought to recover trading losses allegedly caused by negligence and unsuitable recommendations.	Pennsylvania	NASD	Tom Birsic Michael Nelson
2. Securities broker-dealer and individual broker	Pension plan trustees	Claimant sought to recover gains that were lost when Respondents did not set up mutual fund account for automatic dividend reinvestment.	Pennsylvania	NYSE	Tom Birsic Michael Nelson
3. Bank president	Bank	Market value of shares	Washington DC	AAA	Charles L. Eisen
4. Securities broker-dealer	Individual investor and trustee	Claim based on allegations of “selling away” and unsuitability.	Florida	NASD	Robert B. Galt III
5. Securities broker-dealer	Individual investor and trustee	Claimant alleged that our client was liable for legal fees in connection with a dispute involving another company and for income taxes paid in 2000 as a result of IRA withdrawals.	Florida	NASD	Robert B. Galt III
6. Securities broker-dealer	Individual investor.	Trading losses based on allegations of unsuitable investments and fraud	Pennsylvania	NASD	Erin Koepfel
7. Securities broker-dealer	Individual investor.	Trading losses based on allegations of fraud, failure to supervise, negligent misrepresentation, and violation of regulations	California	NASD	Christopher Kondon
8. Securities broker-dealer	Individual investor.	Trading losses based on allegations of fraud, negligent misrepresentation, failure to supervise, and violation of regulations	California	NASD	Christopher Kondon Michael Quinn
9. Securities broker-dealer	Individual investors	Trading losses based on allegations of unauthorized transactions, unsuitable investments, failure to supervision, and violation of regulations	California	NASD	Christopher Kondon Michael Quinn
10. Securities broker-dealer	Individual investor.	Trading losses based on allegations of churning, lack of supervision, and negligence	California	NASD	Christopher Kondon Michael Quinn
11. Individual broker	Family Trust	Trading losses based on allegations of unsuitable investments and fraud	Washington, D.C.	NASD	Stavroula Lambrakopoulos
12. Securities broker-dealer	Individual investor.	Trading losses based on allegations of unsuitable investments and fraud	Texas	NASD	Stavroula Lambrakopoulos
13. Securities broker-dealer	Individual	Trading losses based on allegations of unsuitable investments	Florida	NASD	Stavroula Lambrakopoulos

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	investors	and fraud		Texas State Court	
14. Securities broker-dealer	Individual investors	Trading losses based on allegations of unsuitable investments and fraud	Florida	NASD	Stavroula Lambrakopoulos
15. Securities broker-dealer	Individual investor	Trading losses based on allegations of unsuitable investments and fraud	Pennsylvania	NASD	Stavroula Lambrakopoulos
16. Securities broker-dealer	Individual investor	Trading losses based on allegations of unsuitable investments and fraud	Michigan	NASD	Stavroula Lambrakopoulos
17. Securities broker-dealer	Trust	Trading losses based on allegations of unsuitable investments and fraud	California	NASD	Stavroula Lambrakopoulos
18. Securities broker-dealer	Individual investor.	Trading losses based on allegations of unsuitable investments and fraud	Florida	NASD	Stavroula Lambrakopoulos
19. Securities broker-dealer	Individual investor	Trading losses based on allegations of unsuitable investments and fraud	Michigan	NASD	Stavroula Lambrakopoulos
20. Securities broker-dealer	Business customers	Recovery of payment for purchase of notes when transaction improperly rejected by customers	New York	NASD	Stavroula Lambrakopoulos
21. Individual investor and pension plan	Broker-dealer	Trading losses relating to account churning and options trading	Virginia	NASD	Stavroula Lambrakopoulos
22. Securities broker-dealer	Securities lending employees	Alleged breach of employment contract	New York	NASD	Lawrence Lanpher
23. Securities broker-dealer	Firm officer	Alleged breach of employment contract, discrimination	New Mexico	NASD	Lawrence Lanpher
24. Securities broker-dealer	Individual investors	Unauthorized trading claims	New York	NASD	Charles Mills
25. Securities broker-dealer	Individual investors	Unsuitable investments alleged	Pennsylvania	NASD	Charles Mills
26. Securities broker-dealer and individual broker	Individual investor	Trading losses based on allegations of unsuitable investments and fraud	Louisiana	NASD	Michael Missal Erin Koeppe
27. Securities broker-dealer	Individual investors	Trading losses based on allegations of churning and unsuitable investments	California	NASD	Michael Quinn
28. Securities broker-dealer	Business customer	Represented broker-dealer as claimant in action against customer for failure to pay deficient margin calls	California	NASD	Michael Quinn
29. Securities broker-dealer	Broker-dealer	Represented claimant (former branch office) in dispute between broker-dealers relating to revenue sharing	Colorado	NASD	Michael Quinn Robert Feyder
30. Securities broker-dealer and individual broker	Individual investor	Suitability, misrepresentation and failure to supervise claims related to losses of more than \$5 million from leveraged	Washington, D.C.	NASD	Glenn Reichardt Rebecca Kline

Client	Adversary	Nature of Case	Location	Forum	Contact
		investments in high tech stocks			
31. Securities broker-dealer, individual brokers and compliance officer	Commodities customers	Negligence, fiduciary duty, fraud and contract claims related to losses of more than \$3 million in connection with commodities trades	Washington, D.C.	NASD	Glenn Reichardt Rebecca Kline
32. Financial management and advisory company	Individual investors	Suitability, misrepresentation and failure to supervise claims related to losses from investments in high tech stocks	Washington, D.C.	NASD	Glenn Reichardt Rebecca Kline
33. Financial management and advisory company	Individual investors	Suitability, misrepresentation and failure to supervise claims related to losses of more than \$1 million from leveraged investments in high tech stocks	Washington, D.C.	NASD	Glenn Reichardt Rebecca Kline
34. Financial management and advisory company	Individual investor	Suitability, misrepresentation and failure to supervise claims related to losses from leveraged investments in high tech stocks	Washington, D.C.	NASD	Glenn Reichardt Rebecca Kline
35. Investment advisory firm	Investment advisory customers	Indemnification and contribution claims related to brokerage customers' losses related to 2001 investments in growth stocks	Florida	NASD	Glenn Reichardt Michael Moore
36. Securities broker-dealer	A mass action involving 45 claimants	Claimants sought to recover substantial amounts lost and invested in a Ponzi scheme perpetrated by a former representative based upon claims of fraud, negligent hiring and supervision, and unsuitable transactions	Florida	NASD	Stephen Topetzes Michael Napoli
37. Securities broker-dealer	Individual investor	Claimant sought to recover losses from investments in a private Ponzi scheme perpetrated by a former registered representative	Georgia	NASD	Stephen Topetzes Michael Napoli
38. Individual broker	Individual investor	Claimant sought to recover trading losses allegedly caused by unsuitable recommendations and the exercise of improper discretion in customer accounts serviced by our client	New York	NASD	Stephen Topetzes Rebecca Kline
39. Individual broker	Individual investor	Claimant sought to recover trading losses allegedly caused by unsuitable recommendations, fraud and negligence related to customer accounts serviced by our client	Florida	NASD	Stephen Topetzes Rebecca Kline
40. Individual broker	Individual investors	Claimant sought to recover trading losses based on allegations of negligence, unsuitable recommendations, breach of fiduciary duty and improper exercise of discretion in customer accounts serviced by our client	Washington, D.C.	NASD	Stephen Topetzes Rebecca Kline
41. Securities broker-dealer	Individual investor	Claimant alleged damages and securities losses related to outside business activities of registered representative who handled his account	Kentucky	NASD	Stephen Topetzes Rebecca Kline
42. Individual broker	Individual investor	Claimant sought to recover trading losses allegedly caused by fraud, negligence and unsuitable recommendations.	Michigan	NASD	Stephen Topetzes Rebecca Kline
43. Individual broker	Individual	Claimant sought to recover trading losses allegedly caused by	Michigan	NASD	Stephen Topetzes

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	investor	fraud, negligence and unsuitable recommendations			Rebecca Kline
44. Individual broker	Individual investor	Claimant sought to recover trading losses allegedly caused by fraud, negligence and unsuitable recommendations	Illinois	NASD	Stephen Topetzes Rebecca Kline