



## Securities

Burr & Forman provides counsel to issuers and investors, as well as litigation services related to federal and state securities laws and regulations for a number of clients including:

- Public and private companies
- Fund sponsors
- Private equity and venture capital investors
- Broker-dealers
- Corporate officers
- Individual investors
- Insurance companies

### **Transactional and Compliance Services**

We provide legal services and assistance in connection with:

- Private fund formation
- Planning and implementing public offerings of securities (including drafting & filing registration statements for initial and secondary public offerings)
- Private placements and other exempt offerings of securities
- Broker-dealer registration and compliance
- Compliance with Securities and Exchange Commission (SEC) reporting requirements
- Compliance with corporate governance requirements of the SEC and stock exchanges
- Proxy solicitations
- Resale of restricted securities
- Sales of securities by insiders

### PROFESSIONALS

Matthew W. Barnes  
Edward H. Brown  
David D. Dowd, III, CIPP/US  
Rion DuBose Foley  
Victor L. Hayslip  
Chester "Chet" J. Hosch  
Nicole Keefe  
Jennifer M. Moseley  
Thomas K. Potter, III  
Gene T. Price  
J. Sims Rhyne III  
Jack P. Stephenson, Jr.

### SCOPE OF SERVICES

Securities Litigation

### RELATED AREAS

Bankruptcy Litigation  
Broker-Dealer Disputes  
Commercial Litigation  
Insurance Litigation & Coverage  
Securities Litigation  
UCC Litigation

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## Litigation Services

Our team represents clients in all types of disputes involving securities-law issues, whether in state or federal courts, before regulatory agencies, or in arbitration. Visit our Securities Litigation page here to learn more about our litigation services.

## News

- 58 Burr Attorneys Named to 2023 Mid-South Super Lawyers and Rising Stars List  
Firm News, 11.28.2023
- Burr & Forman Earns National and Metro Rankings in 2024 Best Law Firms List  
Firm News, 11.02.2023
- Jennifer Moseley Named to “Top 15 Corporate Attorneys” for a Seventh Consecutive Year by *EB-5 Investors Magazine*  
Firm News, EB-5 Investors Magazine, 10.09.2023

## Publications

- SEC's New Cybersecurity Disclosure Rules Now in Effect  
Article, 09.05.2023