

# JOHN “JACK” S. LUTZ

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## FINANCIAL SERVICES LITIGATION & REGULATORY DEFENSE



Jack Lutz represents corporations and their officers and directors in complex commercial and securities litigation, arbitrations, mediations and grand jury investigations including, among others, matters alleging corporate and securities fraud and tax fraud. He also provides advice and defense to the financial services industry in regulatory matters and proceedings. Jack has over 35 years of legal experience and an extensive background of distinguished employment and service in both the public and private sectors. He served

as trial attorney with the U.S. Securities and Exchange Commission, Denver Regional Office, and headed a securities prosecution unit of the Joint Manhattan Strike Force for the U.S. Department of Justice, Organized Crime and Racketeering Section.

## FAIRFIELD AND WOODS P.C.

ATTORNEYS AND COUNSELORS SINCE 1934

### ABOUT THE FIRM

Fairfield and Woods provides a wide range of legal services to clients ranging from Fortune 100 companies to individual entrepreneurs. We deliver superior service with seasoned judgment to achieve our clients' legal objectives.

### MSI GLOBAL ALLIANCE

Fairfield and Woods is a member of MSI Global Alliance, a global group of independent professional firms, with over 250 member firms in over 100 countries. Through our association, professional services can more readily be provided to our clients who need assistance in other areas of the United States or internationally.

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## FINANCIAL SERVICES LITIGATION & REGULATORY DEFENSE

The Fairfield and Woods Financial Services Practice Group represents clients throughout the Rocky Mountain region and beyond in financial services litigation, securities arbitration and mediation, internal investigations, and related employment matters. The group's clients include broker dealers and financial services firms and their officers, directors and registered representatives.

### Financial Services Litigation:

- Individual plaintiff suits against broker dealers and other financial services firms
- Mass action securities litigation
- Class action securities litigation
- Complex and multi-district litigation

### Customer/Broker Dealer Industry Arbitration and Mediation:

- Securities fraud
- Breach of fiduciary duty
- Unsuitable trading
- Churning
- Unauthorized trading
- Raiding disputes

### Regulatory Defense in Investigations and Administrative Proceedings and Hearings Brought by:

- Securities Exchange Commission (SEC)
- Financial Regulatory Authority (FINRA)
- New York Stock Exchange (NYSE)
- State securities commissioners

### Employment Matters:

- Wrongful termination
- Broker recruitment litigation
- Theft of trade secrets
- Unfair competition
- Employment contracts and non-competes
- Slander and defamation in connection with employment termination
- Discrimination