

# FELICELLO

## Securities Litigation

We represent clients in a broad range of securities and investment disputes, both within the U.S. and on cross-border matters related to overseas investment issues. These matters included allegations of fraudulent misrepresentation, fraud, breaches of fiduciary duty, and regulatory violations. We have represented individual investors, shareholders, and financial institutions in securities litigation claims.

## Representative Matters

Winfield v. Eloxx Pharmaceuticals, Inc., 19-cv-447-RGA (D. Del.) (Obtained a favorable settlement of plaintiff's securities claim after defeating motion to dismiss)

[Nash v. Qualtrics International, Inc.](#), 2024 WL 2505911 (D. Del. May 24, 2024) (substantially defeated motion to dismiss plaintiff's claim of securities fraud).

Represented numerous individual and institutional investors in disputes against funds and fund managers; obtained judgments and settlements making investors whole.

Represented biotech-focused private equity fund in 13D and proxy fight litigation in Delaware Chancery Court and U.S. District Court; obtained TRO to stop challenged transaction.

Represented investors in litigation alleging fraud and misappropriation of funds by executives of a Hong Kong-based investment company.

Defended chairman of the board in a shareholder derivative action asserting breaches of fiduciary duty and corporate waste against the directors and officers of a China-based tech firm.

Represented purchaser of preferred stock in securities fraud claim against pharmaceutical company and another investor for false statements made in connection with conversion of preferred stock.

Defendant board member in a derivative action alleging mismanagement and breach of fiduciary duty by corporate officers of a publicly traded company.

Defended client against enforcement of an arbitral award in New York.  
Obtained judgment dismissing petition to confirm award in New York.

Represented law firm and attorney in connection with judgment enforcement claims against third party.

Represented founders in securities claim against purchaser of franchise business.

Represented lender in action against borrow for breach of stock pledge loan.

Represented stock lender in action against pledgee for return of stock.

Represented a private fund in action against stock issuer for breach of convertible note.

Defended shareholder group in derivative action concerning a real estate holding company.

Represented a retail investor in FINRA arbitration related to unauthorized trading and lack of supervision by broker-dealers.

Represented claimant a securities fraud action against a major financial institution for misleading statements in connection with investment products.

Defended investment bank in arbitration claim arising from compensation dispute. Obtained favorable award dismissing claims and awarding compensation to investment bank.

Represented the investment advisor arm of a national bank in connection with an SEC investigation concerning alleged disclosure violations, resulting in no action taken by the SEC.

Represented offshore fund directors in connection with SEC and DOJ investigations.

Represented private company in DOJ, DOL, and ICE employment investigations and settlement.