

Brandon M. Riley

Managing Counsel

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Brandon Riley regularly represents securities, corporate, nonprofit, municipal, and financial services industry clients in federal and state courts, as well as private domestic, FINRA, and international arbitration. Though he has experience representing clients across a variety of business sectors, Brandon focuses his practice on securities litigation, regulatory and enforcement matters, commercial litigation, and resolving sophisticated business disputes. Brandon is also an accomplished appellate advocate and has significant experience at each level of the appellate process in Pennsylvania and in the federal courts. In addition, Brandon frequently serves as an arbitrator for the Philadelphia Court of Common Pleas' compulsory arbitration program, where he has adjudicated dozens of cases.

RESULTS

- obtained precedential Superior Court opinion compelling arbitration that recognized broker-dealer client's arbitration agreement is binding on third parties and is "unlimited" such that it encompasses tort claims as well as contract claims, and reversing the trial court's denial of arbitration
- obtained FINRA arbitration defense award on behalf of broker-dealer in multimillion-dollar wrongful termination dispute with former financial advisors
- successfully precluded plaintiff's expert on a *Daubert* motion in senior investor action and compelled arbitration where the plaintiff argued the decedent investor lacked the capacity to enter into the arbitration agreements in the broker-dealer client's account agreements
- obtained a precedential opinion in Third Circuit in favor of a major flood insurer affirming summary judgment on a one-year statute of limitations under the Standard Flood Insurance Policy
- in a matter impacting the Pennsylvania banking industry and the use of letters of credit, obtained victory in Commonwealth Court and reversed the trial court, where the trial court had ordered the bank to honor a copy of a letter of credit when the original was required under the letter's terms and Pennsylvania's Uniform Commercial Code

FOCUS

Securities Litigation & Enforcement
Complex Commercial & Class Action Litigation
Nonprofit & Religious Organizations Litigation
Alternative Dispute Resolution
Appellate
E-Discovery
Fiduciary Governance
Fintech
Litigation

BAR ADMISSIONS

Pennsylvania
New Jersey

COURTS

U.S. Supreme Court
U.S. Court of Appeals for the Third Circuit
U.S. District Court for the Eastern District of Pennsylvania
U.S. District Court for the Middle District of Pennsylvania
U.S. District Court for the District of New Jersey

EDUCATION

J.D., *cum laude*, Rutgers University School of Law - Camden
B.S., *with distinction*, Iowa State University

MEMBERSHIPS

Board Member, The Bridge Way School
Golf Event Planning Committee, Samaritan Hospice of South Jersey
Alumni Steering Committee Member, Rutgers University Law School Center for Corporate Law and Governance
Philadelphia Bar Association
Pennsylvania Bar Association
Stradley Ronon Technology Committee
Stradley Ronon Pro Bono Committee
Stradley Ronon Associates Committee



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- secured complete victory on preliminary objections on behalf of a large design, engineering, construction and mechanical services company, defeating direct and derivative claims of aiding and abetting breaches of fiduciary duty arising from a shareholder dispute in the wake of the client's terminated asset purchase agreement with the target company
- obtained affirmance in Third Circuit of dismissal of First Amendment retaliation claims against South Jersey police chief and police department employees
- obtained FINRA arbitration award for all compensable damages—including attorneys' fees and costs—on behalf of broker-dealer involving former employee's unrepaid promissory notes
- obtained affirmance in the Superior Court of Pennsylvania of denial of a preliminary injunction on behalf of a major insurer and negotiated stipulation to settle the lawsuit for zero dollars paid
- secured pre-trial dismissal of pro bono client in auto accident litigation that ultimately resulted in a large damages verdict against the other driver for plaintiff's injuries
- obtained a favorable settlement on behalf of majority shareholders in an expedited shareholder dispute in the Delaware Chancery Court involving a minority investor exercising "drag along" rights under the company's operating agreement to force the sale of the company to a third party
- contributed to numerous federal amicus briefs on the scope and applicability of the First Amendment to the regulation of religious institutions, including at the certiorari and merits stages in the Supreme Court of the U.S.
- represented more than 100 mutual funds and institutional investors with more than \$2 billion in trading losses as plaintiffs in securities fraud opt-out actions against Petrobras arising from the Brazilian oil industry giant's long-running bribery and kickback scheme and overstatement of assets
- represented a global aerospace manufacturer in a multimillion-dollar international arbitration, defeating all disputed claims and prevailing on counterclaims for substantial monetary damages
- obtained a favorable settlement on behalf of the broker-dealer in FINRA customer action involving allegations that the broker misappropriated the customer's funds
- consistently recovered the entire amount in dispute on behalf of a major mutual funds provider in multiple reclamation actions
- represented financial institution in responding to SEC relating to its investigation of alleged misrepresentations to customers
- drafted several successful summary judgment motions on behalf of national flood insurance carriers litigating disputes arising under the Standard Flood Insurance Policy
- negotiated "walk-away" settlement for individual defendant client in a lawsuit involving alleged malfeasance by nonprofit corporation's executive director and board members

LANGUAGES

Spanish (proficient)



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- obtained a favorable settlement for a mutual fund provider following FINRA's internal investigation, where the regulator threatened a severe fine for a failure to update its supervisory procedures

SPEAKING ENGAGEMENTS

- Moderator, "Regional Economic Perspective," Chamber of Commerce Southern New Jersey

PUBLICATIONS

- Co-Author, "Key Regulatory and Compliance Considerations for Small and Regional Broker/Dealers," *The Review of Securities & Commodities Regulation*
- Co-Author, "The Embedded Financial Planning Risk — Fiduciary Liability," *Law360*
- Author, "We're Cramped As Hell, And We Won't Take It Anymore," *Travel Law Quarterly*, Journal of the International Bar Association Leisure Industries Section

RECOGNITIONS

- *Best Lawyers*, Ones to Watch

The logo for Stradley Ronon, featuring the name "STRADLEY" in a serif font above "RONON" in a larger serif font. A stylized "SR" monogram is positioned between the two words.