

# Paula D. Shaffner

## Chair, Securities Litigation

Philadelphia, PA

215.564.8761

pshaffner@stradley.com



Paula Shaffner is widely recognized as a fierce advocate for clients in the financial services industry. For almost 30 years, Paula has represented individuals and companies in securities litigation, and defended clients in regulatory matters before the U.S. Securities and Exchange Commission (SEC), the Financial Industry Regulatory Agency (FINRA) and various exchanges and state regulators. She also represents clients in litigation filed in court or arbitration.

Paula conducts internal investigations and provides compliance counseling. Her clients include public companies, mutual funds, hedge funds, investment companies and advisers, broker dealers and individuals associated with those entities.

### SPEAKING ENGAGEMENTS

- Speaker, "Litigation & Enforcement Cryptocurrency Considerations," Investment Management's Digital Assets Working Group: Cryptocurrency Legal Roundup - Securities, Derivatives, Enforcement & Litigation Updates
- Panelist, "Fee-Based v. Commission-Based Accounts," New York State Bar Association's Securities Arbitration and Mediation Evolution Program
- Presenter, "Legal and Compliance Panel," SIFMA's 2018 Conference
- Panelist, "Protecting Your Senior Clients: Prevention, Identification and Action," SIFMA's Senior Investor Protection Regional Workshop
- Presenter, "After the Election: What to Expect from the New Administration in the Securities Field," Securities Regulation Committee Meeting
- Speaker, "West Chester University Undergraduate Commencement 2016 Ceremony," West Chester University
- Speaker, "SEC Hot Topics Institute," Union League Philadelphia
- Speaker, "FINRA Arbitrations: Tools & Practical Guide for 2016 and Beyond," The Knowledge Group
- Panelist, "Securities Arbitration & Mediation: A 2016 Update," The Knowledge Group

### FOCUS

Securities Litigation & Enforcement  
White-Collar Defense, Internal Investigations & Corporate Compliance  
Financial Services Litigation  
Litigation  
Fiduciary Governance  
Special Situations

### BAR ADMISSIONS

Pennsylvania

### COURTS

Pennsylvania Supreme Court  
U.S. Court of Appeals for the Third Circuit  
U.S. Court of Appeals for the First Circuit  
U.S. District Court for the Eastern District of Pennsylvania  
U.S. District Court for the Western District of Pennsylvania

### EDUCATION

J.D., Villanova University School of Law  
B.A., West Chester University

### MEMBERSHIPS

American Bar Association, Litigation Section  
Bridge Way School Advisory Board  
Certified Regulatory and Compliance Professional, FINRA and the Wharton School of the University of Pennsylvania  
Pennsylvania Bar Association Judicial Evaluation Commission, Investigative Division  
Philadelphia Bar Association, Securities Regulation Committee of the Business Law Section  
Securities Industry & Financial Markets Association, Compliance and Legal Division  
President, The West Chester University Foundation

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- Presenter, “This Interview is Confidential (Until It Isn’t): Resolving Conflicts and Other Risks in Internal Investigations,” Pennsylvania Bar Institute’s Business Lawyers’ Institute
- Presenter, “Attorney/Client Privilege,” Pennsylvania Bar Institute, Business Lawyers’ Institute
- Presenter, “The Anatomy of an Arbitration,” Public Investors Arbitration Bar Association Annual Meeting
- Presenter, “Critical Regulatory Issues,” Pennsylvania Institute of Certified Public Accountants Financial Institutions Conference
- Presenter, “SEC Enforcement,” RR Donnelley SEC Hot Topics Institute
- Presenter, “The Attorney/Corporate Client Privilege & the Internal Investigation: A Panel Discussion,” Pennsylvania Bar Association In-House Counsel Committee Central PA Regional Meeting
- Presenter, “Arbitrator Selection,” Securities Arbitration and Mediation; The Basics Evolve, New York State Bar Association

The logo for Stradley Ronon, featuring the name in a serif font with a stylized 'SR' monogram to the left of the word 'RONON'.