

## Amy E. Sparrow

### Associate

Malvern, PA

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Amy Sparrow is a trial lawyer who represents clients, primarily financial institutions and other businesses, in litigation, internal investigations and regulatory actions, and employment-related disputes.

Amy practices in federal and state courts and before arbitration panels in a variety of litigation actions. In financial industry matters, she defends against claims of securities fraud; failure to supervise; negligent supervision, training and hiring; unsuitability; and churning. She also handles employment-related claims, including seeking an employee's repayment of loans to an employer and defending against claims of discrimination, wrongful termination, defamation and failure to pay commissions, among others. More generally, her practice spans a wide variety of litigation, including breach of contract actions, negligence actions and other business disputes.

Amy also represents clients in internal investigations and regulatory actions brought by the Securities and Exchange Commission, the Financial Industry Regulatory Authority (FINRA), the Federal Bureau of Investigation, the Pennsylvania Office of Attorney General, and other federal and state regulators.

Amy is a member of the firm's E-Discovery Team, which develops effective strategies for electronic document management and discovery to minimize clients' business disruption and costs.

### RESULTS

- obtained dismissal of all claims by trial court and on appeal in multimillion dollar matter involving allegations of fraud, conspiracy and violation of federal law relating to real estate transactions
- obtained defense award plus an award of attorneys' fees in defense of employee's claim of religious discrimination in FINRA arbitration
- obtained a settlement during defense of employee's claims of defamation and wrongful termination while the employee presented his case-in-chief before a FINRA panel, resulting in the employee's dismissal of his claims and payment of attorneys' fees to our client
- obtained a settlement during defense of employee's claims of employment-related discrimination, resulting in the employee's dismissal of his claims

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### FOCUS

Securities Litigation & Enforcement  
Employment & Labor  
E-Discovery Team  
Litigation

### BAR ADMISSIONS

Pennsylvania

### COURTS

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

### EDUCATION

J.D., *magna cum laude*, Temple University Beasley School of Law  
B.S., *magna cum laude*, The College of New Jersey



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- obtained awards in full amount of promissory notes in FINRA arbitrations in pursuing claims on behalf of broker-dealers against financial advisers who fail to repay obligations pursuant to promissory notes
- obtained defense award plus attorneys' fees in AAA arbitration in defense of multimillion dollar breach of contract action against a wind-energy company regarding its efforts to obtain investors
- represented financial institution in responding to SEC relating to its investigation of alleged misrepresentations to customers
- represented broker-dealer in responding to FINRA relating to its investigation of an employee's alleged improper outside business activities and solicitation of funds from customers
- represented corporation in responding to grand jury subpoenas in an action brought by the Pennsylvania Attorney General's Office regarding pay-to-play allegations
- represented corporation in an action brought by the Pennsylvania Attorney General's Office regarding allegations of failure to comply with environmental regulations

Before joining Stradley Ronon, she clerked for the Hon. D. Michael Fisher, Judge for the U.S. Court of Appeals for the Third Circuit. While attending law school, Amy interned for the Hon. Timothy J. Savage, Judge for the U.S. District Court for the Eastern District of Pennsylvania. She received awards for excellence in evidence, legal writing and overall academic achievement and served as a research editor for the *Temple Law Review*. Prior to attending law school, Amy worked in the field of higher education administration for DeSales University

## RECOGNITION

- *Pennsylvania Super Lawyers, Rising Star*

