



## JASON C. MOREAU

### PARTNER

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Jason Moreau is a partner in Armstrong Teasdale's Litigation practice group. His practice focuses on complex commercial litigation, with an emphasis on financial services, securities litigation and regulatory enforcement.

An established practitioner, Jason has extensive experience representing companies, officers, directors, boards and individuals in government investigations, enforcement proceedings and complex commercial litigation. Jason regularly represents clients in federal and state court proceedings as well as matters initiated by various state and federal regulators including the Securities and Exchange Commission (SEC), Department of Justice (DOJ), Commodity Futures Trading Commission (CFTC), Financial Industry Regulatory Authority (FINRA) and other state securities regulators. These matters often involve allegations of fraud, corporate misconduct, accounting improprieties, market manipulation, insider trading, and violations of the Foreign Corrupt Practices Act (FCPA) and False Claims Act (FCA). Jason's experience spans a variety of industries, including financial services and banking, health care and pharmaceuticals, energy, minerals and mining, firearms, restaurant/point of sale (POS) software and services, and higher education.

Jason is routinely engaged by public and private companies (global and domestic), and by audit and special committees of boards of directors to conduct internal investigations. He also advises clients on regulatory, compliance and risk management issues both within and outside the context of litigation.

### BACKGROUND

Prior to joining Armstrong Teasdale, Jason spent 20 years in private practice at other international and regional law firms in Boston.

### EDUCATION

- Suffolk University Law School (J.D., 2000)
  - Moot Court Board
  - Suffolk Journal of Trial and Appellate Advocacy
- Brandeis University (B.A., 1996)

### PROFESSIONAL ACTIVITIES

- American Bar Association

### SERVICES AND INDUSTRIES

Complex Commercial

Litigation

Financial Services

Internal Investigations and

Regulatory Compliance

Litigation

Privacy and Data Security

Securities Regulation and

Litigation

White-Collar Criminal Defense

and Government

Investigations

### ADMISSIONS

Massachusetts

New York

U.S. Court of Appeals, First

Circuit

U.S. District Court, District of

Massachusetts

- Securities Industry and Financial Markets Association, Member

## EXPERIENCE

### **Summary Judgment for Public Firearms Company in Securities Class Action**

Obtained summary judgment and circuit court affirmance on behalf of public firearms company on all claims in securities class action alleging misrepresentations associated with a series of public statements regarding the level of demand for the company's products.

### **Secured Dismissal of Multiple Derivative Shareholder Suits Against Publicly Traded Firearms Company**

Secured dismissal of three derivative shareholder suits (in federal and state court) against a public firearms company.

### **Dismissal of SEC Claims Against Major Financial Institution Director**

Obtained dismissal and circuit court affirmance of SEC claims against a former managing director of a major financial institution.

### **Jury Verdict for Defendant in SEC Enforcement Action**

Obtained a jury verdict in favor of broker defendant in SEC enforcement action alleging stock fraud and manipulation following two-week trial in federal district court.

### **Successful Representation in ADR and Litigation Involving Interest Rate Swaps and Derivative Transactions**

Represented a number of institutional clients in alternative dispute resolution and litigation involving interest rate swaps and derivative transactions associated with a global financial services firm's bankruptcy.

### **SEC Enforcement Investigation Concerning Alleged FCPA Violations**

Represented public corporation in SEC enforcement investigation concerning alleged violations of the Foreign Corrupt Practices Act (FCPA).

### **SEC Enforcement Investigation for Pharmaceutical Company**

Represented private specialty pharmaceutical company in SEC enforcement investigation concerning alleged fraudulent misrepresentations and omissions to prospective investors.

### **Dismissal of Claims Against Financial Analyst in NYSE Enforcement Proceeding**

Dismissal of fraud and misrepresentation claims asserted against financial analyst in New York Stock Exchange (NYSE) enforcement proceeding regarding newly implemented NYSE rules involving trading during blackout periods.

### **Favorable Settlement for Exploration/Mining Corporation in Corporate Control Matter**

Represented public mineral exploration, mining and claims acquisition corporation specializing in rare earth elements in litigation involving corporate control issues resulting in a favorable settlement for the corporation.

### **Favorable Settlement for Trading Firm in CFTC Enforcement Action**

Represented foreign exchange trading firm in enforcement action initiated by the U.S. Commodity Futures Trading Commission (CFTC) resulting in a favorable settlement for trading firm.

### **Representation of National Broker-Dealer Facing Claims Related to Collateralized Debt**

**Obligations**

Represented national broker-dealer in connection with hundreds of customer claims arising from proprietary investment products involving various grades of collateralized debt obligations.

**Rare Vacatur of Arbitration Award**

Obtained rare vacatur of arbitration award by the U.S. Court of Appeals for the First Circuit.

**Representation of IT Company in SEC Investigation Regarding Wrongdoing in Singapore, China**

Conducted internal investigation and represented information technology and services company in SEC investigation regarding potential wrongdoing by employees in Singapore and mainland China (including smuggling, customs, tax and accounting violations). Self-reported to relevant Singapore and China regulatory authorities in conjunction with same.

**Representation of CEO, Managing Principal of Hedge Fund in SEC Proceeding**

Represented chief executive officer and managing principal of emerging markets hedge fund in SEC enforcement proceeding concerning alleged misappropriation of investor funds and misrepresentations and omissions to fund investors.

**Representation for Startup in SEC Enforcement Proceeding Alleging Fraud Scheme**

Represented counsel to startup in SEC enforcement proceeding concerning alleged fraudulent scheme to disguise public stock sales by corporate affiliates.

**Representation of Limited Partnership Involving Investments in Electricity Contracts and Independent System Operators**

Represented Limited Partnership regarding trading strategy and investment in various energy contracts offered at ISO (Independent System Operator) and RTO (Regional Transmission Organization) and resulting regulatory and registration issues involving SEC and CFTC.

**Asset and Property Recovery for Foreign Businessman, Entity**

Represented foreign businessman and Lichtenstein, Germany-based entity to recover assets and property misappropriated by defendant joint venture partners, in both the U.S. and abroad.

**Favorable Settlement for Health Care Provider in Data Breach**

Represented health care provider involving cyberattack and unauthorized data breach resulting in favorable settlement with Connecticut regulators and third-party service providers.

**Representation of Center for Independent Living in Investigation by Maine Attorney General**

Represented center for independent living in connection with investigation by Maine Attorney General (Healthcare Crimes Unit, the designated Medicaid Fraud Control Unit for the State of Maine) into potential fraudulent activities involving attendant care services.

**No Action Taken by SEC in Insider Trading Investigation**

Represented public firearms company in connection with SEC insider trading investigation resulting in no action taken by the SEC.

**Representation of Manufacturer in Alleged False and Misleading Advertising Case**

Represented manufacturing company specializing in energy recovery ventilation involving allegations of false and misleading advertising.