

Paula D. Shaffner

Co-Chair, Securities Litigation and Enforcement

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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

- Presenter, "Financial Services Broker-Dealer Workshop," Stradley Ronon
- Panelist, "Key Issues for Small and Regional Firms," SIFMA C&L Annual Seminar
- Panelist, "Who's Zoomin' Who? Virtual FINRA Hearings, Mediations and Developments in a Real Life World," New York County Lawyers Association Securities and Exchanges Committee
- Speaker, "Securities Arbitration: Deep Dive," New York State Bar Association
- 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

FOCUS

Securities Litigation & Enforcement
White-Collar Defense, Internal
Investigations & Corporate Compliance
Financial Services Litigation
Litigation
Special Situations
Cryptocurrency and Blockchain
Fintech
Broker-Dealer

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
President, The West Chester
University Foundation
Securities Industry & Financial
Markets Association, Compliance and
Legal Division
Swarthmore Borough Authority,
Financing Authority



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- 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
- 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

PUBLICATIONS

- Co-Author, “Key Regulatory and Compliance Considerations for Small and Regional Broker/Dealers,” *The Review of Securities & Commodities Regulation*

