J Matthew W. Haws

Partner

Chicago Office

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Practices

FOCUS: Financial Markets Litigation and Enforcement

Commercial Litigation

Securities Litigation

Industries

Finance and Financial Markets

Education

JD, University of Illinois College of Law, *magna cum laude*

BS, Boise State University

Bar Admissions

Illinois

Court Admissions

US Court of Appeals, Second Circuit

US Court of Appeals, Seventh Circuit

US District Court, Southern District of Illinois

US District Court, Northern District of Illinois

Community Involvements

Lesbian and Gay Bar Association of Chicago

The National LGBTQ+ Bar Association

Matthew Haws helps investment banks, brokers, trading firms and other financial service firms keep their business on track in the face of regulatory investigations and complex commercial litigation. A decisive advocate and effective problem solver, Matthew advises clients in complex regulatory environments and emerging areas of the law and leverages his experience and creativity to find solutions that fit the client's business objectives.

A strong advocate for clients both in the courtroom and before regulators

When business disputes arise, Matthew is comfortable in any forum, including district courts and appellate courts, arbitrations and in front of regulatory bodies. He has represented broker-dealers, futures commission merchants (FCMs), investments banks, trading firms and individuals throughout the financial services industry in a variety of complex commercial disputes and regulatory investigations — including by the Securities and Exchange Commission (SEC), the Commodity Futures Trading Commission (CFTC) and the Financial Industry Regulatory Authority (FINRA) and other self-regulatory bodies.

Matthew has a wealth of experience defending financial institutions in litigation arising from Ponzi schemes and other types of fraud. He has successfully defended several broker-dealers and FCMs at both the district court and appellate level arising from Ponzi schemes perpetrated by a customer or third party, including suits and arbitrations filed investors, receivers or bankruptcy trustees.

As a former secondee at Morgan Stanley, Matthew knows first-hand the complex challenges financial institutions face during regulatory investigations and litigation, and his understanding of the industry allows him to position his clients for the best outcomes possible. Whether the client is navigating the financial, institutional or reputational risks of regulatory enforcement or litigation, Matthew makes sure his clients fully understand these challenges

and potential pathways through them, so they can make an informed, strategic choice about how to move forward.

Matthew also keeps up an active pro bono practice primarily focused on assisting the LGBT+ community. His work includes, among other things, assisting members of the community to apply for asylum and prosecuting civil claims of housing discrimination on account of their sexual orientation or gender identity.

Representative Experience

- Defended a broker-dealer in FINRA arbitration brought by a receiver arising from a Ponzi scheme perpetrated by a third party.
- Successfully defended an FCM in a lawsuit arising from a Ponzi scheme perpetrated by a former customer. Obtained summary judgment on all claims and an affirmance on appeal.
- Defended a private equity firm in multiple RICO suits and a related bankruptcy proceeding.
- Successfully defended the global head of metals trading at a large FCM in a commercial tort lawsuit filed by former traders. Obtained a dismissal of all claims and an affirmance on appeal.

Recognitions

Recognized or listed in the following:

- Thomson Reuters
  - Stand-out Lawyer, 2024

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News

- Katten Celebrated Pride Month With Featured Speaker Dr. Eric Cervini (July 15, 2022)
- Katten Insolvency and Restructuring Team's 2021 Achievements Recognized with *M&A Advisor* Awards (June 13, 2022)
- *Law360* Celebrates Katten's New Partner Class (February 8, 2021)
- Katten Announces New Partner Class (October 30, 2020)

Publications

- *Mallory v. Norfolk Southern Railway Co.*: Supreme Court Recognizes Existence of Consent-Based Theory of General Personal Jurisdiction (August 2, 2023)
- *Coinbase, Inc. v. Bielski*: Interlocutory Appeals on the Question of Arbitrability Automatically Stay District Court Proceedings (June 27, 2023)
- Financial Markets and Funds Quick Take | Issue 5 (August 16, 2022)
- Second Circuit Rejects Probabilistic Pleading to Allege Actual Damage in Spoofing Cases (August 1, 2022)
- CFTC Expanding Anti-Manipulation Powers to Punish Misrepresentations to Futures Exchanges and FCMs (October 7, 2021)
- Second Circuit Opinion Allows Market Manipulation Claims Based on Hedging Activity (May 27, 2021)

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Presentations and Events

- The CFTC's Evolving Application of its Fraud-Based Manipulation Law and Regulatory Provisions (December 2, 2021)
- Market Correction Curriculum: Peak-To-Valley Portfolio Disputes and Damage Claims (June 9, 2020) | *Presenter*