

Kevin P. Broughel

Partner

Financial Markets Litigation and Enforcement

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Kevin Broughel is a seasoned litigator with over two decades of experience in state and federal courts throughout the country, with a practice emphasis on financial services, securities and shareholder disputes, fiduciary duty litigation and commercial litigation. He is highly sought after for his ability to provide sound counsel on a variety of legal issues involving the financial services, securities and banking industries.

A litigation powerhouse with a keen eye for detail

Kevin has extensive experience representing corporations and individuals in various high-stakes matters involving corporate governance/fiduciary duties, securities fraud, mergers and acquisitions, class and derivative litigation, and bankruptcy litigation and restructuring matters. He has been individually recognized in many leading legal ranking publications, including *Lawdragon, Benchmark Litigation, Chambers USA* and *Legal 500*. According to client survey responses in *Chambers*, "he is a particularly strong choice for international clients or matters with a cross-border component" and is described as having "an excellent courtroom presence" and a "nuanced and sophisticated understanding of the law," while being "detail-oriented and very much a strategic thinker early on in the cases" as well as someone who "litigates his cases aggressively, while maintaining his cool in difficult situations." Additionally, *Legal 500* highlights that Kevin is "very professional," "approachable and caring," and adept at "guiding [his clients] to the best resolution possible."

Kevin's experience is not limited to the financial services sector. His clients come from a variety of other industries, including energy, e-commerce, private equity, real estate and life sciences. Kevin is also a frequent speaker and writer on various financial and general commercial litigation topics and, in the past, has served as co-chair of the American Bar Association's programming for its Pre-Trial Practice and Discovery Committee.

While at Fordham University School of Law, he was a member of the Moot Court, serving as captain of the 2002 BMI/Cardozo Entertainment and Communications Law competition team that won "Best Overall

Practices

- Antitrust and Competition
- Class Action Litigation
- Commercial Litigation
- Financial Markets Litigation and Enforcement
- Litigation
- Pharmaceutical and Life Sciences Litigation
- Securities Litigation

Industries

- Energy
- Finance and Financial Markets
- Life Sciences
- Technology

Education

- JD, Fordham University School of Law
- BA, Georgetown University, *cum laude*

Bar Admissions

- Connecticut
- New York

Court Admissions

- US Court of Appeals, Second Circuit
- US Court of Appeals, Sixth Circuit
- US District Court, District of Connecticut
- US District Court, Southern District of New York
- US District Court, Eastern District of New York

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Team" and "Best Brief Honors." Kevin also was a semifinalist in the 2001 Maurice Wormser Corporate Law Moot Court competition.

Representative Experience

- Represented a telecommunications provider debtor in successfully restructuring its senior notes through a prepackaged Chapter 11 plan.*
- Represented various open-end and closed-end funds in securities class action litigation, opt-out and shareholder derivative litigation.*
- Represented a national pre-paid debit card in various consumer class actions over fund access issues.*
- Represented a global air carrier in a multi-district litigation relating to alleged price-fixing in the global air cargo business.*
- Represented a global investment bank in various cases involving complex synthetic CDO transactions.*
- Represented a major energy delivery company before the Delaware Chancery Court and Delaware Supreme Court regarding a challenge to a $1.2 billion pipeline expansion project.*
- Represented a major telecommunications and cable provider in Delaware Chancery Court concerning the purchase and sale of certain cable television systems.*
- Represented a leading media company regarding termination obligations and unpaid commissions relating to television advertising services.*
- Represented a worldwide boxing and sporting goods company in an action brought by shareholders concerning a proposed sale and merger.*
- Represented a private equity firm in litigation arising from the proposed purchase of a sports trading card and memorabilia company.*

*Experience prior to Katten

Recognitions

Recognized or listed in the following:

- ALM/*Law.com*
  - Runner-Up Litigator of the Week, August 2024
- *Benchmark Litigation*

Professional & Community Involvement

- Cornerstone School of Summit, NJ, Former Board of Trustees Member
- Kids in Need of Defense (KIND), Pro Bono Counsel
- Summit Police Athletic League, Former Board Member

- Future Star, 2024, 2026

- *Chambers USA*
  - Litigation: Securities, 2022–2026
- *Financial Times*
  - Innovative Lawyers North America (2014)
- *Lawdragon*
  - 500 Leading Litigators in America, 2024–2027
- *Super Lawyers*
  - New York, 2021–2026
- *Super Lawyers Rising Stars*
  - Rising Star for Business Litigation in New York Metro, 2013–2016
- *The Legal 500 United States*
  - Recommended Attorney, 2020–2026

News

- Katten Earns Top Rankings in the Legal 500 US 2026 Guide (June 10, 2026)
- Katten Climbs in *Chambers USA* 2026 Rankings (June 4, 2026)
- Katten Attorneys Named to 2025 New York Metro Super Lawyers List (October 31, 2025)
- Katten Receives High Marks in the Legal 500 US 2025 Guide (June 11, 2025)
- *Chambers USA* 2025 Ranks Katten as Leading Law Firm (June 5, 2025)
- Katten Attorneys Named to 2024 New York Super Lawyers, Rising Stars Lists (October 29, 2024)
- Katten Highly Ranked in Legal 500 United States 2024 (June 12, 2024)
- Katten Receives High Marks in *Chambers USA* Guide 2024 (June 6, 2024)
- Media Spotlights Kevin Broughel's Arrival at Katten (March 25, 2024)
- Katten Expands Litigation Team With Kevin Broughel in New York (March 14, 2024)

"Kevin is very solid, knows his stuff and is good with clients. His contributions are incredibly valuable. He's great to work with, personable and dedicated to his clients. He really is an expert in securities." "Kevin is excellent on Delaware law and has a good handle on that specialized area, as well as on federal and state securities law. He is also engaging, thoughtful and dedicated." "Kevin is a very talented litigator. He is excellent at managing clients, updating and involving us in all aspects of decision-making."

***Chambers USA* 2026**
(New York, Litigation: Securities)
survey response

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Publications

- Financial Markets and Funds *Quick Take* | Issue 51 (June 2026)
- Recent Cases Clarify When Risk Disclosures Trigger Liability (June 24, 2026)
- Financial Markets and Funds *Quick Take* | Issue 49 (April 2026)
- Private Credit Developments: Regulatory Signals and Emerging Litigation Trends (April 9, 2026)
- Financial Markets and Funds *Quick Take* | Issue 48 (March 2026)
- Rebutting Price Impact In Securities Class Actions (September 16, 2025)
- The Post-Macquarie Securities Fraud-By-Omission Landscape (February 6, 2025)
- Tackling the Unexecuted Damages Model Dilemma When Opposing Class Certification – Ninth Circuit Decision Offers Important Insights (November 4, 2024)
- *ESG Guidepost* | Issue 13 (April 2024)
- Toshiba Standard Exposes Foreign Cos. Trading ADRs In US | *Law360* (March 13, 2020)
- 4 NY Cases Forge Post-Cyan Securities Litigation Landscape | *Law360* (August 29, 2019)
- 2nd Circ. Adds To Authority On Securities Law Preclusion | *Law360* (August 10, 2018)
- 2 Recent Decisions Provide Stock Promotion Guidelines | *Law360* (January 31, 2017)
- CFPB's Project Catalyst: Is It Worth The Risk? | *Law360* (November 8, 2016)
- New Rule 37(e) In Action: Lessons From First 3 Months | *Law360* (March 4, 2016)
- 2nd Circ. Highlights Importance Of NY Borrowing Statute | *Law360* (February 4, 2016)
- It Keeps Going and Going—Second Circuit Reaffirms Stringent Scienter Standard For Securities Fraud Claim Against Auditors Of Battery Company | *ABA Business Law Today* (May 2015)
- Mediation And The Thorny Issue Of Settlement Authority | *Law360* (March 30, 2015)

- Video Privacy Protection Act Could Be The New TCPA | *Law360* (November 19, 2014)
- The Real Application of FRCP 1 to E-Discovery | *Pretrial Practice & Discovery*, ABA Section of Litigation Newsletter (January 27, 2014)
- Your Questions Answered: Preparing Your Witness for a Deposition | *Pretrial Practice & Discovery*, ABA Section of Litigation Newsletter (May 22, 2013)
- Insights From An Under-The-Radar CDO Case | *Law360* (May 9, 2013)

Presentations and Events

- Litigation and Regulatory Trends: Private Credit in Focus (August 11, 2026)
- Securities Litigation Trends and Emerging Issues | Presented by Cornerstone (May 24, 2023) | *Presenter*
- Global Litigation ConfEx (June 20, 2017) | *Presenter* | *2017 Forecast on Discovery and High-Stakes Litigations*
- ABA Section of Litigation Annual Meeting (May 4, 2017) | *Moderator* | *Getting an Early Edge: How Robust Early Case Assessment Can Help You Quantify Litigation Risk, Provide Better Settlement Opportunities, and Develop an Overall Cost-Effective Winning Strategy*
- ABA Webinar (September 29, 2016) | *Panelist* | *Taking Measure of "Proportionality": Examining the Implementation of the 2015 Federal Rules Amendments Nine Months Out*
- ABA Teleconference (February 19, 2015) | *Presenter* | *Early Case Assessment and Other Initial Stages of Complex Litigation*
- ABA Annual Meeting (August 11, 2014) | *Moderator* | *Disruptive Innovation and the Legal Services Market: Are Upsets on the Horizon?*
- ABA Section of Litigation Annual (August 7, 2014) | *Moderator* | *Disruptive Innovation and the Legal Services Market: Are Upsets on the Horizon?*
- ABA Litigation Section Annual (April 11, 2014) | *Moderator* | *For the Record, from Start to Finish: Your Case on Appeal Can Be Greatly Improved by Focusing on Potential Appellate Issues at Every Step of the Litigation Process*
- ABA Teleconference (March 27, 2014) | *Presenter* | *The Mightiest Pen: Effective Motion Practice*

- ABA Webinar (March 26, 2013) | *Moderator* | *The Best Defense Is a Good Offense: How to Proactively Prepare Your Witness for a Successful Deposition*