



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
- Pharmaceutical and 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*

Community Involvements

- 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

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"Kevin is extremely knowledgeable in the securities space across the board, both state and federal. He's practical, user-friendly, hard-working and responsive."

***Chambers USA 2024
(New York, Litigation: Securities)
survey response***

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- Future Star, 2024
- *Chambers USA*
 - Litigation: Securities, 2022–2025
- *Financial Times*
 - Innovative Lawyers North America (2014)
- *Lawdragon*
 - Lawdragon 500
 - Leading Litigators in America, 2024 & 2025
- *Super Lawyers*
 - New York, 2021–2024
- *Super Lawyers Rising Stars*
 - Rising Star for Business Litigation in New York Metro, 2013–2016
- *The Legal 500 United States*
 - Recommended Attorney, 2020–2025

News

- 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)

Publications

- The Post-Macquarie Securities Fraud-By-Omission Landscape (February 6, 2025)

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- 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

- 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*

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- 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*