



# David L. Goldberg

## Partner

### Financial Markets Litigation and Enforcement

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**Veteran litigator David Goldberg is an attorney financial institutions turn to when facing high-stakes, complex litigation and enforcement matters. A former AUSA who later ran major disputes and regulatory investigations in-house at a global investment bank, David guides clients through make-or-break cases, nationwide class actions and government-facing enforcement matters with a no-surprises approach.**

#### **Delivering results when the company is on the line**

David has led defense teams in multi-billion-dollar exposures, including a federal civil fraud case brought by a foreign sovereign that resolved on the eve of jury selection, a pending civil RICO action tied to nationwide military-housing financing, and coordinated proceedings stemming from options strategies with alleged losses exceeding \$1 billion — where he secured defense awards in most arbitrations and constrained recoveries in the rest. He has also obtained complete defense results in Financial Industry Regulatory Authority (FINRA) arbitrations on nine-figure claims and won dispositive rulings in cases seeking tens of millions of dollars, while managing parallel risks across equities, fixed income, investment banking and wealth management businesses.

Drawing on a decade inside a major financial institution and years in federal service, David understands how litigation and investigations intersect with business imperatives and regulatory scrutiny. He positions clients to protect enterprise value, limit collateral consequences and reach durable outcomes when there is no margin for error.

#### **Understanding financial services disputes from the inside out**

Serving as executive director and senior associate general counsel for UBS Securities LLC, David managed many of the firm's largest investment banking disputes and regulatory investigations. He knows the challenges and opportunities financial institutions face during important litigations, regulatory investigations and enforcement matters, and his understanding of the industry allows him to position his clients for the best outcomes possible.

#### **Practices**

- Broker-Dealer Regulation
- Financial Markets and Funds
- Financial Markets Litigation and Enforcement
- International Arbitration
- Litigation
- Securities Litigation
- White Collar and Internal Investigations

#### **Education**

- JD, Boston University School of Law, *cum laude*
- BA, University of Pennsylvania, *with honors*

#### **Bar Admissions**

- New York

#### **Community Involvements**

- Securities Industry and Financial Markets Association, Litigation Advisory Committee Chairman
- West Side Campaign Against Hunger, Board Member

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Additionally, David spent seven years at UBS Wealth Management Americas, where he managed a nationwide team and personally handled hundreds of retail investor arbitrations, disputes and regulatory matters.

David previously served with distinction as an AUSA in the US Attorney's Office for the Eastern District of New York, where he received the John Marshall Award, one of the highest honors given by the DOJ.

## Representative Experience

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- Lead defense trial counsel for individual defendants in multi-party federal civil fraud case against foreign sovereign government and its taxing authority arising from alleged misconduct in connection with foreign securities transactions that resulted in \$2 billion loss. Case settled on the eve of jury selection.
- Lead defense counsel for individual defendant in pending federal civil RICO litigation arising from multi-billion financing and construction of military housing complexes across United States.
- Lead counsel for two separate U.S. financial institutions in pending nationwide federal class action litigation challenging cash "sweeps" programs.
- Lead trial counsel for international financial institution in over one dozen related arbitrations arising from options trading strategy with alleged \$1 billion in client losses. Won full defense award in majority of cases, and limited recoveries to less than 10% of Claimants' collective investment losses.
- Trial counsel for broker-dealer in FINRA arbitration claiming conflicts of interest caused investor to lose over \$250 million. Won full defense award and costs.
- Defended state-licensed industrial bank against allegations of wrongful liquidation of securities collateral in action seeking more than \$60 million. Obtained summary judgment dismissing breach of contract and fiduciary duty claims. Client was awarded attorney's fees/costs incurred.
- Represent underwriting syndicate in federal securities class action litigation arising from \$100 million initial public offering. Won threshold decision barring class plaintiffs from pursuing claims against all clients based on prior litigation conduct.

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## Recognitions

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*Recognized or listed in the following:*

- *Best Lawyers in America*
  - Litigation – Securities, 2020–2026
- *Super Lawyers*
  - New York, 2018–2025
- *The Legal 500 United States*
  - Recommended Attorney, 2014, 2016, 2020, 2022, 2024–2025
- US Attorney General
  - John Marshall Award for Outstanding Legal Achievement, 1998

## News

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- Katten Attorneys Named to 2025 New York Metro Super Lawyers List (October 31, 2025)
- Katten Celebrates 101 Attorneys Honored by *Best Lawyers®* (August 21, 2025)
- Katten Receives High Marks in the Legal 500 US 2025 Guide (June 11, 2025)
- Katten Attorneys Named to 2024 New York Super Lawyers, Rising Stars Lists (October 29, 2024)
- Katten Attorneys Recognized as *Best Lawyers®* and *Best Lawyers: Ones to Watch®* Award Recipients (August 15, 2024)
- Katten Highly Ranked in Legal 500 United States 2024 (June 12, 2024)
- Katten Attorneys Named to 2023 New York Super Lawyers, Rising Stars Lists (September 29, 2023)
- Katten Attorneys Distinguished by *Best Lawyers®* (August 17, 2023)
- Katten Attorneys Earn 2022 New York Super Lawyers and Rising Stars Distinctions (September 29, 2022)
- Katten Attorneys Recognized by *Best Lawyers®* (August 18, 2022)
- Katten Awarded Top Ranking in Structured Finance: Securitization in The Legal 500 United States 2022 (June 8, 2022)
- Katten Attorneys Named 2021 New York Super Lawyers and Rising Stars Honorees (September 30, 2021)

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- Katten Attorneys Listed in *The Best Lawyers in America*® (August 19, 2021)
- Katten Attorneys Chosen for New York Super Lawyers and Rising Stars Lists (October 28, 2020)
- Katten Attorneys Distinguished as Top Legal Talent in the 2021 *Best Lawyers in America* and *Best Lawyers: Ones to Watch* Lists (August 20, 2020)
- Katten Attorneys Nominated to 2019 New York Super Lawyers, Rising Stars Lists (September 12, 2019)
- Katten Attorneys Named to 2018 New York *Super Lawyers*, Rising Stars Lists (September 13, 2018)
- Eighteen Katten Practices and 70 Attorneys Recognized by *The Legal 500 United States* 2016 (June 17, 2016)
- Eight Katten Practices and Forty-Two Attorneys Recognized by *The Legal 500 United States* 2014 (July 3, 2014)
- UBS Executive David L. Goldberg Joins Katten Litigation Practice (July 11, 2013)

## Publications

- Financial Markets and Funds *Quick Take* | Issue 41 (August 2025)
- Financial Markets and Funds *Quick Take* | Issue 30 (September 12, 2024)
- *Mallory v. Norfolk Southern Railway Co.*: Supreme Court Recognizes Existence of Consent-Based Theory of General Personal Jurisdiction (August 2, 2023)
- Recent DC Circuit Court of Appeals Case Brings FINRA to the Forefront of the SRO State Actor Controversy (July 17, 2023)
- *Coinbase, Inc. v. Bielski*: Interlocutory Appeals on the Question of Arbitrability Automatically Stay District Court Proceedings (June 27, 2023)
- INSIGHT: Five Suggestions for Drafting (and Defending) Pre-Dispute Contractual Jury Waivers (October 10, 2019)
- Attorney-Consultant Privilege? Key Considerations for Fund Managers When Utilizing, Invoking and Waiving the Kovel Privilege for Consultants (October 20, 2016)
- Second Circuit Decision May Have Significant Implications for Whistleblowers and Their Employers (September 21, 2015)

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- Fee Advancement Considerations Arise From Recent Delaware and Third Circuit Decisions (July 20, 2015)
- Second Circuit Decision Provides Guidance for Drafting Enforceable Broker-Dealer Agreement Forum Selection Clause (September 4, 2014)
- SDNY Strikes a Blow Against Selective Waivers (January 14, 2014)
- SDNY Holds No Attorney-Client Privilege Applies to Communications With In-House Legal Department in China (December 13, 2013)
- *Gruss v. Zwirn*: SDNY Strikes a Blow Against Selective Waiver (December 5, 2013)
- SEC Issues Frequently Asked Questions on Supervisory Liability of Broker-Dealer Compliance and Legal Personnel Under Section 15(b)(4) and 15(b)(6) of the Exchange Act (October 9, 2013)
- [Corporate & Financial Weekly Digest](#) (Weekly) | [Author](#)

## Presentations and Events

- SIFMA C&L Annual Seminar (March 23–26, 2025) | *Panelist* | *Inside Out: Best Practices for Managing In-House Legal & Compliance Departments*
- Market Correction Curriculum: Peak-To-Valley Portfolio Disputes and Damage Claims (June 9, 2020) | *Presenter*
- Market Correction Curriculum: Margin Liquidations (May 19, 2020) | *Co-presenter*
- Katten's Annual Financial Markets Litigation and Enforcement Symposium (October 10, 2019)
- Katten's Annual Financial Services Litigation Symposium (October 26, 2017) | *Speaker* | *Litigation Update*
- C&L 2017 Annual Seminar (March 19–22, 2017) | *Panelist* | *A Practitioner's Guide to Managing a Regulatory Investigation*
- Katten's Annual Financial Services Litigation Symposium (October 27, 2016) | *Presenter*
- Recent Legal Developments on Securities and Derivatives Issues for Sell-Side and Buy-Side Market Participants (July 27, 2016) | *Panelist*
- Financial Services Litigation Symposium (October 6, 2015) | *Host*
- Compliance & Legal Society Annual Seminar (March 15–18, 2015) | *Panelist* | *Financial Crisis Litigation: Is the End in Sight?*

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- Financial Services Litigation Symposium (October 16, 2014) | *Presenter*
- Katten's Summer 2014 Review: Financial Services Regulatory and Legal Development Highlights (September 10, 2014) | *Panelist*
- NERA's 15th Securities and Finance Summer Seminar (July 6–8, 2014) | *Presenter* | *Can't Take My Eyes Off You; Regulatory Overreach*
- Attorney-Client Privilege: Key Issues for In-house Attorneys (April 29, 2014) | *Presenter*
- Compliance & Legal Society Annual Seminar 2014 (March 30–April 2, 2014) | *Panelist* | *Mortgage Litigation and Regulatory Landscape*
- Enforcement and Examination Priorities of Options Regulators (October 1, 2013) | *Presenter*
- Successful Partnering Between Inside and Outside Counsel (August 29, 2013) | *Presenter*
- Association of Corporate Counsel Greater New York Chapter Full Day CLE Event (July 24, 2013) | *Presenter* | *Internal Investigations: Hot Topics and Red Flags*
- SIFMA Compliance & Legal Society 2013 Annual Seminar (March 1, 2013) | *Presenter* | *An Overview of Significant Recent Developments in Mortgage and RMBS Litigation*