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## Services

- » Litigation
- » Corporate Law
- » Business Law
- » Mediation & Arbitration
- » Securities
- » Complex Litigation
- » Government Investigations and Enforcement Proceedings

# T. J. Mitchell

T.J. Mitchell provides litigation solutions in complex financial and business disputes, manages clients' risk, and allows clients to focus on driving their business or personal objectives. Drawing from his experience working in the legal department of a large technology company, T.J. understands what clients expect from their outside counsel or personal attorney and takes the time to understand their unique challenges, goals, and values. These priorities shape his work from the first client meeting through pre-litigation negotiations, preparing lawsuit or arbitration pleadings and briefs, conducting discovery, and resolving disputes either through settlement or trial.

T.J.'s practice focuses on representing parties in:

- » SEC, FINRA, and state-level regulatory investigations and proceedings in the securities brokerage and investment advisory industries
- » Civil litigation in federal courts, state courts and arbitrations involving complex financial products and transactions
- » Director & officer liability litigation
- » Mergers and Acquisitions litigation
- » Diverse business contract and tort actions

Outside of his law practice, T.J. is honored to serve as a "Big" through Big Brothers Big Sisters of Central Arizona. He also serves on the board of directors for the Greater Phoenix Chamber of Commerce's Valley Young Professionals.

## Representative Engagements

- » Represented companies, their principals, and employees in the crypto currency industry during investigations by the SEC and the CFTC.
- » Represented a registered representative in a FINRA arbitration against allegations of fraud, misrepresentations and non-disclosures, elder abuse, breach of fiduciary duty, and suitability. The claims were denied in their entirety. After the hearing regarding expungement of the claims from the representative's BrokerCheck and CRD, the arbitrator found the allegations were false and granted the request for their expungement.
- » Represented an insurance agency and five of its agents during investigations conducted by the SEC and the Arizona Securities Division, and the proceedings these agencies filed against our clients for their alleged role in placing \$17 million of notes issued by a \$1.2 billion Ponzi scheme.

## **Representative Engagements (cont.)**

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- » Represented an investment adviser who was forced to leave his firm by his partner. The AAA arbitration resulted in an award in favor of our client in excess of the \$1 million sought for the buyout of his partnership interest, pre-judgment interest, post-judgment interest, and attorney's fees and costs.

## **Bar Admissions**

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- » Arizona
- » United States District Court for the District of Arizona
- » United States District Court for the District of Colorado
- » United States District Court for the District of New Mexico

## **Education**

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**Sandra Day O'Connor College of Law at Arizona State University**, J.D. (2018), *magna cum laude*, *Order of the Coif*

- » Honors & Awards: CALI Excellence for the Future Award winner
- » Activities: Arizona State Law Journal, Associate Editor; Judicial Extern for the Hon. Judge Teilborg, Federal District Court for the District of AZ (2017); Business Legal Assistance Program, Vice President

**University of Arizona**, B.A. in Philosophy, Politics, Economics, Law & Religious Studies (2015), *magna cum laude*

- » Honors & Awards: Rombach Scholarship Award winner; Magellan Circle Scholar
- » Activities: Arizona Cheerleading Team (2012-2014); Catmasters; Toastmasters International, Chapter President (2012-2015)

## **Honors & Awards**

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- » Named a Young Business Leaders to Watch by Arizona Business Magazine (January 2022)

## **Classes & Seminars**

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- » Speaker, "*The Basics of FINRA Arbitration*," **Sandra Day O'Connor College of Law at Arizona State University** (February 2022)

## **Published Works**

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- » Author, "*SEC Renames and Doubles Size of Crypto Enforcement Unit*" (May 2022)
- » Author, "*Highlights from the 2022 SEC Examinations Priorities Report*" (April 2022)
- » Author, "*FINRA Arbitrator Selection: Lessons from Leggett*" (February 2022)
- » Author, "*Three Takeaways from SEC FY 2021 Enforcement Results*" (November 2021)
- » Author, "*What Does FINRA Use Fine Money for Anyways*," **FINRA Releases 2020 Fine Money Allocation Report** (June 2021)

## **Published Works (cont.)**

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- » Co-Author, “2021 SEC Examination Priorities – At a Glance” (March 2021)

## **Professional Associations & Memberships**

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### **American Bar Association**

- » Securities Arbitration Section, Member

### **State Bar of Arizona**

- » Securities Regulation Law Section, Executive Council Member at Large

### **Maricopa County Bar Association**

- » Young Lawyer Division, Board Member

**Securities Industry and Financial Markets Association, Member**

## **Community Involvement**

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**Maricopa County Planning & Zoning Commission, District 3 Commissioner (2022 – 2026)**

**Greater Phoenix Chamber of Commerce’s Valley Young Professionals, Member**

- » Chair (2022 – present)
- » Vice-Chair (2021 – 2022)
- » Board Member (2019 – 2021)

**Big Brothers Big Sisters of Central Arizona, Volunteer**

- » “Big” (2020 – present)
- » Fundraising Committee Member (2020 – Present)

**Volunteer Lawyers Program, Volunteer Attorney (2019 – present)**

**The Translational Genomics Research Institute (TGen), Ambassador (2019 – present)**

- » MindCrowd Steering Committee Member (2021 – present)
- » Program Ambassador (2019 – present)

**Disabled American Veterans, Volunteer Attorney (2018 – 2020)**