



Holly Stein Sollod

Partner

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Holly Stein Sollod concentrates her nationwide trial practice in securities and complex commercial litigation and arbitration.

PRACTICES

Commercial Litigation
 Alternative Dispute Resolution
 Government Investigations and White Collar Defense
 Securities Enforcement and Shareholder Litigation
 Privacy and Information Security
 Banking Litigation
 Cybersecurity and Data Breach Defense
 Class Actions
 Advertising, Labeling, and Consumer Class Actions
 International Arbitration
 Cybersecurity and Privacy

EDUCATION

New York University School of Law, J.D., 1981

Cornell University, B.A., 1978

BAR ADMISSIONS

Colorado
 New York

Holly brings more than 30 years of experience in both New York and Colorado to her practice representing public and private companies and individuals in high-stakes securities litigation and arbitration, shareholder derivative suits, SEC and FINRA investigations and enforcement matters and bet-the-company complex commercial litigation, including class actions.

Clients turn to Holly because of her proven track record of obtaining results that meet each client's unique needs. As a former Director of Arbitrations at the American Stock Exchange, she brings practical knowledge and experience to her arbitration practice.

As a Fellow in the College of Commercial Arbitrators and the National Academy of Distinguished Neutrals, Holly is also an experienced arbitrator and mediator and has handled hundreds of alternative dispute resolution matters in securities and commercial cases.

EXPERIENCE

Securities Litigation and Arbitration

Holly represents clients in all aspects of securities litigation, including class actions, shareholder derivatives, regulatory investigations, and private securities. This includes securities, derivative, RICO class actions, SEC and stock exchange investigations and arbitrations, internal investigations, suits claiming breach of fiduciary duty, misconduct by corporate directors, and corporate governance litigation arising from M&A transactions.

White Collar and SEC Enforcement

Holly's clients include companies and their senior executives facing regulatory investigations and enforcement actions by the SEC, FINRA, and other regulatory organizations. Holly has years of experience defending companies and their officers and directors in SEC and FINRA enforcement proceedings and investigations, conducting internal corporate investigations, and acting as counsel to Special Litigation Committees.

Complex Commercial Litigation and Class Actions

Holly's practice also focuses on a wide variety of complex commercial litigation claims, involving breach of contract, fraud, RICO, COCCA, cybersecurity, consumer class actions, lender liability, TILA, FCRA, and

TCPA class actions.

CLIENT RESULTS

Securities Litigation and Arbitration

Represented Great West Financial Services Equities Inc. in a week-long FINRA arbitration brought by terminated executive, seeking over \$900,000 in damages and expungement of his Form U-5. Arbitrators denied all relief to executive.

Represented Western Union and its top executives in several nationwide class action suits; achieved dismissal of all claims on motion to dismiss.

Represented Colorado Springs based cybersecurity company and its top executives in securities class actions; achieved dismissal of all claims on motion to dismiss.

Represented Ciber, Inc. a Colorado based IT consulting company and its top executives in securities class action achieved dismissal of all claims on motion to dismiss.

Represented provider of electrotherapy medical devices used for pain management and rehabilitation and its executives in securities class action.

Represented internet solutions and telecommunications provider and its top executives in securities class actions.

Represented former CFO of Idaho educational publishing company in shareholder class action and related SEC litigation.

Represented publicly traded company in \$10 million earn-out dispute brought by former CEO of acquired company.

Represented Charles Schwab & Co., Inc. in FINRA arbitration involving \$60 million intraday margin call.

Corporate Governance and Shareholder Derivative Suits

Acted as counsel to Special Litigation Committee in Nevada shareholder derivative case seeking \$800 million in damages against DISH Network and its officers and directors.

Achieved dismissal of shareholder derivative suit against Western Union and its top executives on motions to dismiss for failure to make a pre-suit demand.

Achieved dismissal of shareholder derivative suit against Ciber Inc., an IT consulting company on motions to dismiss for failure to make a pre-suit demand.

Acted as counsel to Special Litigation Committee in shareholder derivative suit involving manufacturer of casino chips in Nevada.

Acted as counsel to Special Litigation Committee in shareholder derivative suit involving multi-level marketing company in Utah.

Representation of target corporations and directors in M&A litigation in Colorado, Nevada, and Utah.

White Collar and SEC Enforcement

Defended hedge fund administrator in suits by investors in alleged Ponzi scheme in state and federal court.

Representation of CFO of sports nutrition company in SEC investigation and enforcement action involving under reporting of executive compensation.

Representation of former CFO of environmental emissions controls company in SEC investigation involving accounting irregularities.

Representation of CFO of Idaho company in SEC settled enforcement action.

Representation of individual investor in Chinese reverse merger in settled SEC enforcement action.

Representation of companies and individuals in state investigations into Ponzi schemes, the sale of annuities, insider trading, supervision, fraud, reverse mergers, accounting fraud issues and market timing.

Complex Commercial Litigation

Won summary judgment on breach of fiduciary duty claims brought by purported class members against UBS Financial Services Inc. in action relating to bank's sweeps program.

Representation of Nevada "pay day" loan companies in purported class actions alleging violations of The Telephone Consumer Protection Act ("TCPA").

Representation of Oklahoma bank in nationwide class action alleging violation of Truth in Lending Act (TILA) and consumer protection laws.

Representation of uranium producer in \$60 million suit alleging RICO and breach of contract claims brought by large corporate purchaser of uranium.

Arbitration and Mediation Practice

More than 30 years' experience as an arbitrator and mediator in complex commercial and securities related cases. Chairperson qualified.

PUBLICATIONS

"The Benefits Dial," *Contributing Author*

"In Hearing Cyan, the USSC Tackles "Gibberish" of SLUSA," *Holland & Hart News Update*, 12/05/2017

"New Cybersecurity Regulations in Colorado for Broker-Dealers and Investment Advisors," *Holland & Hart News Update*, 7/24/2017

"U.S. Supreme Court Reverses 10th Circuit –Limits SEC Disgorgement Claims to Five Years," *Holland & Hart News Update*, 6/05/2017

"Circuit Split Deepens as 9th Circuit Rejects 'Ascertainability' in Class Certification," *Holland & Hart News Update*, 1/20/2017

"10th Circuit Finds Lender's Membership Interests in an LLC Are Not Investment Contracts in Quiznos Restructuring Lawsuit," *Holland & Hart News Update*, 1/09/2017

"Eighth Circuit Reverses Class Certification Applying Halliburton II," *Holland & Hart News Update*, 4/18/2016

SPEAKING ENGAGEMENTS

"Litigation and Arbitration Trends & Developments," *Panelist, SIFMA Compliance & Legal Society Regional Seminar, CO*, 1/26/2017

"The Boundaries of Ethical Representation – Defense and Enforcement Perspectives," *47th Annual Rocky Mountain Securities Conference, Denver, CO*, May 7, 2015

"Recent Developments in Corporate Governance," *Panelist, University of Denver Sturm College of Law*, April 15, 2015

RECOGNITION

- *The Best Lawyers in America*® Commercial Litigation, Securities/Capital Markets Law, 2013-2020
- Colorado Super Lawyers®, "Top 50 Women Lawyers," 2013, 2014
- Colorado Super Lawyers®, Securities Litigation, 2011-2019
- Martindale-Hubbell®, AV Preeminent® Rating

PROFESSIONAL AND CIVIC AFFILIATIONS

- College of Commercial Arbitrators, Fellow
- Women's White Collar Defense Association, Member
- Colorado Bar Association, Securities Litigation Subcommittee, Founder and Former Chair
- Board of Arbitrators, FINRA, and the American Arbitration Association Member since 1986
- National Academy of Distinguished Neutrals, Member
- Faculty of Federal Advocates, Member
- American Bar Association Foundation, Fellow 2016-2018
- American Bar Association, Member
 - Securities Litigation Committee
 - The Securities Arbitration Subcommittee
 - White Collar Crime Committee

Class Action and Derivative Subcommittee

