

## Donald R. Littlefield

Managing Principal, Dallas

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Don Littlefield is the Managing Principal of the Dallas Office. He has been representing financial institutions and their employees for over 30 years. One of his clients describes his legal advice as smart, practical, and efficient. Having worked in private law firms and as an Executive Director and Senior Vice President for two national broker-dealers, he combines in-depth knowledge of the securities industry with superior legal skills to provide clients with creative and effective legal strategies. He has built strong relationships with his in-house clients by providing a perspective built on decades of handling legal disputes for financial services clients and their employees from the market crash of 1987 through the current turbulent markets.

Don graduated from Southern Methodist University School of Law in 1986 and has a BBA in Finance from the University of North Texas. He was previously a shareholder at Munsch, Hardt, Kopf & Harr in Dallas, Texas. He began his career as an associate at Rohde, Chapman, Ford & How and Geary, Glast & Middleton. Don is also a past chairman of the Securities Section of the Dallas Bar association and has spoken on securities matters in several continuing education panels, including the SIFMA Compliance and Legal annual conference.

### Awards & Accolades

- Selected to the list of *Texas Super Lawyers*, 2019-2021

*No aspect of this or any advertisement has been approved by the Supreme Court of New Jersey. A description of the award methodologies can be found here.*

16475 Dallas Parkway  
Suite 555  
Addison, TX 75001

13 Greenway Plaza  
Suite 1105  
Houston, TX 77046

### AREAS OF PRACTICE

Business & Commercial  
Litigation

Expungements

Financial Institutions

Financial Institutions  
Enforcement Defense

Financial Institutions Internal  
Investigations

Financial Institutions Litigation  
and Arbitration

FINRA Employment  
Arbitrations

Labor & Employment Law

Retail Client Relationships

Senior & Vulnerable Investor  
Group

### EDUCATION

- Southern Methodist University, J.D., 1986
- University of North Texas, B.B.A., 1983

## Experience

Donald has handled hundreds of legal disputes between clients and financial institutions. He has also represented firms and individuals before both federal and state courts, regulatory bodies and self-regulatory organizations. He has also conducted numerous internal investigations and has handled a large number of employment disputes. His experience has also included the following:

- In his representation of a receiver appointed by the US Securities and Exchange Commission, Donald assisted in the recovery of millions of dollars for victims of an internet Ponzi scheme.
- After a lengthy arbitration hearing, Donald obtained a complete dismissal of claims in excess of \$1.2 million for alleged violations of Federal and State securities laws.
- In his representation of a national securities broker dealer, Donald obtained a complete dismissal of all claims for alleged fraud and various state and federal claims based on purchases of real estate limited partnerships.
- Donald has also successfully represented national broker dealers in arbitration proceedings regarding collateralized mortgage obligations, bond funds, managed futures and options.
- Donald also represented a national broker dealer in a reparations proceeding before an administrative law judge defending allegations of violations of the Commodities Futures Act.
- In his representation of an energy company in a contractual lawsuit in state court, his clients obtained a jury award of damages in excess of \$600,000.

## News & Alerts

Bressler New York and Texas Attorneys selected to Super Lawyers 2023 Firm News, 09.27.2023

## Speaking Engagements & Events

Josh Jones and Donald Littlefield to speak at FMA 33rd Annual Securities Compliance Seminar Seminar, InterContinental Chicago Magnificent Mile, April 17 - 19, 2024

## ADMISSIONS

Texas

U.S. District Court Northern District of Texas

U.S. District Court Southern District of Texas

U.S. District Court Western District of Texas

U.S. District Court Eastern District of Texas

U.S. Court of Appeals, Fifth Circuit

U.S. Supreme Court

John Kincade and Don Littlefield to speak on *Protecting Senior & Vulnerable Clients and New FINRA Expungement Rules*

Speaking Engagement, Arts District Mansion 2101 Ross Avenue, Dallas, 09.26.2023

## **Professional Affiliations**

- Member, Dallas - Fort Worth (DFW) Compliance Roundtable

## **Get to Know Don**

In addition to his law practice, Don is a husband, father, and grandfather. He is also an avid golfer and fisherman.