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**Related Practices &
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Litigation
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Litigation

Gattuccio, Michael v. The O.N. Equity Sales Company

Case No. A149789 | U.S. Court of Appeals, Ninth Circuit

We are defending the investment adviser for an open-end fund company, a broker-dealer, and issuers of annuities and life insurance. The plaintiff alleges that the redemption policies of the annuity issuer and of the transfer agent for the fund company were not reasonably designed to detect and prevent financial elder abuse. In addition, the plaintiff claims the broker-dealer and the issuers are vicariously liable for the wrongdoing of a former agent.