



MITCHELL B. GOLDBERG

PARTNER

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PRACTICE AREAS

- Litigation & Risk Management
 - Broker-Dealer & Investment Advisor Disputes
 - Securities Litigation
 - Trust, Estate & Guardianship Disputes
 - Tax Controversies
- Financial Services & Regulatory
 - Internal Investigations
 - Regulatory Investigations & Enforcement Proceedings
 - Futures & Derivatives

RECOGNITION

- AV Preeminent™ Peer Review Rating (Martindale Hubbell)
- 2015-2020 Leading Lawyer™ in Commercial Litigation (Law Bulletin Publishing)
- 2016-2021 Super Lawyer® in Securities Litigation (Thomson Reuters)

BAR ADMISSIONS

State of Illinois

COURT ADMISSIONS

- United States District Courts
Northern District of Illinois
- United States Courts of Appeals
Seventh Circuit

PROFESSIONAL AFFILIATIONS

- Decalogue Society of Lawyers
Current President
Past Board of Managers
- Chicago Bar Association
Current Securities Committee Member
Past ADR Committee Chair
- Chicago Lincoln American Inn of Court
Current Executive Board
Past Vice President/Treasurer
- DePaul University College of Liberal Arts and Social Sciences Dean's Advisory Council

Mitchell B. Goldberg is a seasoned litigator and trained mediator. With significant experience representing business and financial services clients in regulatory matters, commercial disputes, customer arbitrations, and other cases, Mitch has advocated in matters before Illinois state and federal courts ranging from securities fraud cases, to contract disputes and enforcement of restrictive covenants, to trust litigation and guardianship matters. He also has represented regional and national clients in arbitrations before the National Futures Association (NFA), the Financial Industry Regulatory Authority (FINRA) and various exchanges, as well as some foreign arbitration forums.

Mitch proactively works with in-house counsel to resolve and prevent litigation, whether it be customer complaints or business-to-business disputes. He has also represented companies and their employees in regulatory inquiries and enforcement matters before self-regulatory organizations (FINRA, NFA and exchanges) and a variety of federal and state agencies (including the U.S. Securities Exchange Commission, U.S. Commodity Futures Trading Commission, Illinois Securities Department and Illinois Department of Financial and Professional Regulation).

Apart from his legal practice, Mitch is active in numerous bar associations and legal organizations and has served as the president of the Decalogue Society of Lawyers, America's oldest Jewish bar association. Mitch has served as a member of the adjunct faculty at IIT's Chicago-Kent College of Law, where he has taught courses on securities litigation. Mitch is also devoted to giving back to his community and serves as a volunteer director of several organizations. With his loving wife, Natasha, Mitch tries to teach his four kids, Rachel, Zachary, Jesse and Abigail, about the importance of education, service and kindness.