



## contact

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Experience forms good judgment, and my clients turn to me because they recognize that I have an abundance of both. The type of high-end, sophisticated litigation I do is very much like a chess match, requiring me to consider all positions, think strategically, and remain steps ahead of the opposition. I'm cordial and personable, but fiercely competitive. I enjoy the challenges of helping clients solve difficult problems and furthering the interests of the people and organizations I serve. There's nothing more rewarding than getting the best results for my clients.

With a focus on investment and private equity litigation, Stephen Plotnick represents an international client base in connection with complex business, securities, financial, and capital markets litigation, as well as civil regulatory enforcement matters. He brings more than two decades of knowledge to his practice and advises public and private companies; financial services and securities industry firms and customers; foreign and domestic institutional investors; hedge funds, private equity funds, and other private investment vehicles and portfolio companies, as well as their officers and directors.

At the outset of a dispute, Stephen places an emphasis on gaining a complete understanding of where a client stands and where they'd like to be at the resolution stage, taking into account their budgets and business objectives. In all matters, he doesn't just spell out options – he provides his opinion on which strategy is optimal and why, and doesn't hesitate to encourage clients to take

advantage of opportunities that have favorable risk-to-benefit ratios. Organizations and individuals rely on Stephen's keen intelligence and practical analysis, as well as his policy of conveying his views with absolute candor. If a client has a favorable position, he won't equivocate. If a client has landed in a difficult spot, he doesn't sugarcoat.

Forging strong personal relationships with his clients, Stephen is a "courtroom lawyer" who relishes the opportunity to get in the trenches and advocate vigorously for them. His practice encompasses class, derivative, interpleader, and individual claims involving issues of common law and statutory fraud, federal and state securities and antitrust laws, business torts and contract-based claims, bankruptcy-related litigation, fiduciary duties and corporate governance, and issues involving equity and debt-holder rights. Over the years, Stephen has prosecuted and defended against civil and regulatory claims that arise out of matters involving structured finance, capital markets transactions, and complex financial products. These include collateralized debt obligations, mortgage and other asset-backed securities, and credit default swaps. Additionally, he handles litigation stemming from mergers and acquisitions, commercial financing transactions, registration statements, prospectuses and private offerings, investment management and trading, partnership disputes, and business divorces. In the course of representing investment firms and their professionals, Stephen often advises on matters related to executive compensation and employment, including disputes involving restrictive covenants, hiring and severance agreements, and the complexities of exiting one financial institution and entering another.

## **Practices**

Litigation and Disputes  
Financial Services Regulation and Enforcement

## **Admissions**

### **Bar Admissions**

New Jersey  
New York

### **Court Admissions**

U.S. Court of Appeals, Second Circuit  
U.S. Court of Appeals, Third Circuit  
U.S. District Court, District of New Jersey  
U.S. District Courts, Southern and Eastern Districts of New York

## **Affiliations**

Arbitrator, FINRA Dispute Resolution  
Member, New York State Bar Association  
Member, New York City Bar  
Member, ABA Section of Litigation, Commercial and Business Litigation and Securities Litigation Committees

## **Education**

Seton Hall University School of Law (JD, *cum laude*, 1999)  
University of Maryland (BA, 1996)

## **Awards/Honors**

*Super Lawyers*®, 2013-2023  
*Super Lawyers*® "Rising Star," 2012