



Michele R. Underwood

Michele Underwood primarily handles securities defense matters. She has extensive experience with litigation in federal and state courts, and all securities arbitration forums. Michele represents clients in regulatory matters before the SEC, FINRA, and California Department of Corporations. Michele consults with securities clients on a regular basis regarding compliance issues, supervision, and broker-dealer internal compliance audits.

Michele's securities experience was cultivated over nearly ten years at E.F. Hutton & Company as the Certified Branch Operations Manager for a complex of three office locations. Michele's job duties included supervision of operations, compliance, operational training, and handling all personnel matters for the three-office complex. She was licensed with the NASD/NYSE as a registered representative, as well as the California Department of Insurance as a Life & Disability agent. While attending law school, Michele interned for the Securities and Exchange Commission in Los Angeles, conducting research for enforcement attorneys.

Michele has been a speaker on various securities compliance topics for firm clients, FINRA, National Society of Compliance Professionals, and Practicing Law Institute.

Position

Senior Trial Counsel

Recognitions

- AV® peer review rating from Martindale Hubbell (2000–Present)
- Selected to Southern California Super Lawyers List (Thomson Reuters) (2007–2016) (a designation limited to 5% of attorneys in a geographic region)

Admissions

- California (1988)
- United States District Courts for the Central, Northern, and Southern Districts of California
- United States Court of Appeals for the Ninth Circuit

Education

- J.D., Western State University (1987 – cum laude)
- B.A., University of California, Irvine (1980)

Practice Areas

- [Securities](#)

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Office Location

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