

## People



## Kathy M. Klock

Partner, Litigation  
Broker-Dealer

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Kathy represents broker-dealers in arbitration, state and federal court litigation, and regulatory and self-regulatory organization investigations and enforcement actions. She counsels national and regional securities brokerage firms, clearing firms, and officers, employees, and independent contractors in a wide range of legal, compliance, and risk management issues. Kathy's extensive background in the financial services industry enables her to apply unique insight in counseling clients and investigating, developing effective strategies, and resolving customer disputes, regulatory inquiries and investigations, internal investigations, employment matters, and recruiting litigation. Kathy also has extensive experience in professional malpractice, complex litigation, director and officer liability litigation, and employment matters.

Kathy has held senior positions in the legal departments and management of national and regional securities and investment banking firms, including positions as regional counsel, general counsel, director of risk management, and executive vice president. Her in-house experience enables Kathy to approach client needs with a sensitivity to the economic realities of legal services.

Kathy has served on the faculty for training programs for the Financial Industry Regulatory Authority (FINRA) and the American Arbitration Association (AAA), and she regularly conducts compliance and legal presentations for broker-dealers and other financial services firms.

### Notable Work

**Defense Verdict in Jury Trial:** Represented a financial institution against claims of negligence, intentional interference with the expectancy of an inheritance from a customer, and vicarious liable for undue influence and intentional interference by the client's former employee who inherited the residue of the customer's trust. Our representation of the client resulted in a summary judgment on the direct liability claims, and a jury verdict in favor of the client on the remaining compensatory and punitive damage claims following

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### Areas of Experience

Broker-Dealer  
Litigation  
Financial Services  
Professional Liability  
Commercial Disputes  
Employment Litigation  
Financial Institutions Commercial Litigation  
Securities Litigation  
White Collar Crime and Government Investigations  
Directors and Officers (D&O) Liability

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### Education

J.D., University of Miami School of Law, 1982, *cum laude*  
B.S., University of Miami

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### Admissions

#### Bars

Florida

#### Courts

U.S. Court of Appeals, Eleventh Circuit  
U.S. District Court, Northern District of Florida  
U.S. District Court, Middle District of Florida  
U.S. District Court, Southern District of Florida

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### Related Content

172 Akerman Lawyers Across the United States Named to 2020 *Super Lawyers* and *Rising Stars* Lists  
October 28, 2020

197 Akerman Lawyers Across the United States Named to 2019 *Super Lawyers* and *Rising Stars* Lists  
July 02, 2019

*South Florida Legal Guide* Names Akerman a Top Law Firm  
April 01, 2019

a three-week trial. We also obtained attorney's fees and costs on behalf of the client.

**Arbitration Clause Enforced:** Represented a financial institution in a case of first impression resulting in an order compelling arbitration of breach of fiduciary duty claims against our client by the remainder beneficiaries of a trust.

**Successful Recovery of Mistakenly Transferred Funds:**

Represented a securities broker-dealer in litigation which arose out of a client's mistaken transfer of the assets in a deceased customer's TOD account to an account titled in the name of the deceased customer's estate, rather than to the TOD beneficiary. The case was settled with a payment by the personal representative and trustee to our client.

## Published Work and Lectures

- The Network of Trial Law Firms, Inc.'s Financial Services CLE SuperCourse 2014, Speaker, "Independent Contractors - Supervision and Surveillance Best Practices," September 2014
- The Network of Trial Law Firms, Inc.'s Financial Services CLE SuperCourse 2013, Speaker, "Traditional and Alternative Products: Suitability and Supervisory Issues," September 2013

## Affiliations

- The Florida Bar, Business Law Committee, Member
- American Bar Association, Member
- Palm Beach County Bar Association, Securities Law Section, Member
- Securities Industry & Financial Markets Association, Legal & Compliance Division, Member
- The Marine Mammal Conservancy, Director
- The State Bar of Texas, Inactive

## Honors and Distinctions

- *Palm Beach Illustrated Magazine* 2022, Listed as a "Top Lawyer" for Alternate Dispute Resolution
- *Super Lawyers Magazine* 2009-2020, Listed in Florida for Securities Litigation
- *South Florida Legal Guide*, Top Lawyers 2005-2019, Listed for Securities Litigation and Arbitration
- *Florida Trend's* Legal Elite 2005, 2010, Listed for Arbitration and Mediation
- *South Florida Legal Guide* 2010, Featured in "Women in Law" for Securities Litigation