WHITEFORD



Anna Pia D. Felix

PARTNER

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BIOGRAPHY

Ms. Felix is an accomplished first-chair trial lawyer with nearly two decades of experience representing individuals and corporations in high-stakes complex litigations in a wide range of practice areas, including securities, employment, business torts, contracts, and shareholder and partnership disputes. She regularly handles cases in state and federal courts across the United States, as well as in arbitrations administered by the Financial Industry Regulatory Authority (FINRA), the American Arbitration Association (AAA), JAMS, and the International Chamber of Commerce (ICC).

Ms. Felix represents broker-dealers, investment advisement firms, and registered persons operating in the financial services industry. She advises clients in avoiding and addressing regulatory issues and compliance-related matters and defends clients in examinations, investigations, and disciplinary proceedings brought by the Securities and Exchange Commission, NYSE Regulation, and FINRA. She has a track record of success in handling matters ranging from alleged sales practice and related supervisory violations to industry-specific issues, such as Forms U-4 and U-5 disclosures and expungement.

In her employment practice, Ms. Felix represents employers and employees in litigation and provides counseling in all facets of employment law, including trade secrets, restrictive covenants and post-employment obligations, retaliatory discharge, workplace harassment, discrimination, and FMLA and related state laws. She counsels

PRACTICES & INDUSTRIES

Business Litigation

Labor and Employment Litigation

Securities Litigation and Enforcement

Labor & Employment

EDUCATION

University of Minnesota Law School, 2007, J.D.

New York University, 2002, B.S., summa cum laude

ADMISSIONS

New York

New Jersey

U.S. District Court: Southern District of New York

U.S. District Court: Eastern District of New York

U.S. District Court: District of New Jersey

U.S. Supreme Court

employers, executives, and other professionals on the drafting, review, and negotiation of employment, executive-compensation, restrictive-covenant, and separation agreements. She also conducts internal workplace investigations and advises employers regarding corrective action to mitigate liability, and represents employers in responding to charges and investigations brought by the Equal Employment Opportunity Commission. In addition, Ms. Felix works with employers to draft, review, and update employment handbooks, policies, and procedures.

Ms. Felix is fluent in Tagalog.

MEMBERSHIPS & ACTIVITIES

- Member: International Bar Association
- Member: New York State Bar Association
- Member: New York City Bar Association

Recent Representative Matters

- Served as first-chair in a FINRA arbitration, representing a floor broker on the NYSE/AMEX floor in an employment dispute that resulted in an award of nearly $1.5 million, plus all attorneys' fees and costs and full expungement of the broker's defamatory Form U-5
- Served as co-counsel to respondents in a FINRA arbitration that resulted in a complete dismissal of more than $35 million in claims
- Represented a hedge fund employer in AAA arbitration involving an employee's misappropriation of confidential and trade secret information and breach of duty of loyalty and secured a favorable award requiring the employee, among other relief, to disgorge all profits and return all misappropriated information
- Successfully defeated an emergency application before the Appellate Division, First Department, seeking to overturn an injunction obtained on behalf of a minority owner of a residential condominium in a dispute against the condominium's Board of Managers and majority shareholder
- Represented a semiconductor company in a suit that followed an indictment by the Department of Justice charging economic espionage and theft of trade secrets that resulted in a favorable settlement after mediation

- Represented a hedge fund manager in a FINRA proceeding addressing compensation and other employment issues that resulted in an early and favorable settlement
- Served as co-counsel to an international steel manufacturer in an ICC arbitration that resulted in an award of $4.2 million, including all attorneys' fees and costs
- Represented a financial service company wholly-owned by a Native American Tribe and obtained summary dismissal in New York Supreme Court of a suit seeking recovery for fraudulent conveyance
- Defended a commodities brokerage firm in a federal court trial of a disability discrimination claim
- Represented a defendant accountant in claims of fraud in the $400 million estate of a reclusive heiress