



Anna Pia D. Felix

PARTNER

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BIOGRAPHY

Ms. Felix is an accomplished first-chair trial lawyer with over 15 years of experience representing individuals and corporations in high stakes complex litigations in a wide range of areas, including securities, employment, business torts, contracts, and shareholder and partnership disputes. She regularly handles cases in state and federal courts throughout the United States and in binding arbitrations before Financial Industry Regulatory Authority (FINRA), the American Arbitration Association, JAMS, as well as cross-border disputes in the International Chamber of Commerce.

Ms. Felix regularly 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 FINRA and the Securities and Exchange Commission. 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.

PRACTICES & INDUSTRIES

[Business Solutions, Restructuring & Financial Litigation](#)

[Securities Litigation and Enforcement](#)

[Business Litigation](#)

[Labor and Employment Litigation](#)

[Insurance](#)

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

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, retaliatory discharge, workplace harassment, hostile work environment, discrimination, and FMLA and related state laws. She also conducts internal workplace investigations, including interviewing witnesses, obtaining and reviewing documents and other evidence, drafting comprehensive investigative reports, and advising employers regarding corrective action to mitigate liability. 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 the only female options floor broker on the NYSE/AMEX floor in 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. The award was the highest dollar amount awarded in a FINRA arbitration in 2022.
- Served as co-counsel to respondents in a FINRA arbitration that resulted in a complete dismissal of more than \$35 million in claims
- Represented semiconductor company in suit that followed indictment by Department of Justice charging economic espionage and theft of trade secrets that resulted in a favorable settlement after mediation
- Represented hedge fund manager in FINRA proceeding addressing compensation and other employment issues that resulted in an early and favorable settlement
- Served as co-counsel to claimant international steel manufacturer in ICC arbitration that resulted in an award of \$4.2 million, including all attorneys' fees and costs

- Represented financial service company wholly-owned by Native American Tribe and obtained summary dismissal in New York Supreme Court of suit seeking recovery for fraudulent conveyance
- Defended commodities brokerage firm in a federal court trial of a disability discrimination claim
- Represented defendant accountant in claims of fraud in the \$400 million estate of a reclusive heiress