



Legal Services

Bragança Law LLC represents investors and policyholders in recovering losses from securities brokers, investment advisors, and insurance brokers/companies. Lisa Braganca's experience as an SEC Branch Chief with the Enforcement Division gives her a unique and valuable perspective in representing investors in court and FINRA arbitration, in representing whistleblowers reporting fraud to SEC and other regulators, and in representing employees and investment professionals in regulator investigations. Lisa has represented policyholders in obtaining insurance coverage, including a federal court jury verdict of \$4.2 million plus \$10 million in punitive damages for bad faith. She has successfully represented individuals targeted by, and involved in, regulatory investigations including SEC investigations of fraud and insider trading. Lisa has represented employees in negotiating separation agreements and in resolving employment disputes. She is a NITA trial practice and deposition skills instructor and has taught classes for legal aid attorneys.



Celiza (Lisa) Braganca

Regulatory Securities

SEC/FINRA Investigations

Lisa has represented financial and investment professionals, officers, directors, and employees of private and public companies, and other professionals in regulatory investigations. As an Enforcement Attorney and Branch Chief with the U.S. Securities and Exchange Commission, Lisa investigated broker misconduct, corporate officer/employee misconduct, auditor misconduct, and illegal trading activity. Those investigations led to civil and criminal cases being brought against numerous companies and entities including:

- Officers and employees of subprime auto lender who engaged in accounting fraud and insider trading
- Officers and employees of public company who violated the Foreign Corrupt Practices Act by bribing foreign customs officials
- Promoter of fraudulent offering of so-called prime bank instruments
- Officers of broker-dealers who manipulated market for small capitalization (over-the-counter) stock
- Traders who manipulated options markets through spoofing or small lot orders

In private practice, Lisa has represented financial professionals, directors, officers, and employees, and other professionals in regulatory investigations, shareholder class actions, and bankruptcy adversary proceedings.

Investor Recovery

Recovery of Investment Losses and Obtaining Insurance Coverage

Lisa has recovered millions of dollars in investor losses through arbitration and court actions. Lisa has represented investors across the country whose losses were the result of broker fraud, breach of fiduciary duty, negligence, and other misconduct.

Lisa has obtained insurance coverage for directors, officers, and corporations for covered losses and defense costs under director/officer policies, comprehensive general liability policies, and excess insurance policies.

Whistle Blowers

Whistleblower Claims and Representation

Lisa's experience as an SEC enforcement attorney enables her to successfully represent whistleblowers making claims to the Securities and Exchange Commission and other regulatory bodies. Lisa has evaluated potential venues for bringing whistleblower claims under state and federal law. Lisa has advised whistleblowers on employment issues and in negotiating separation agreements.