JONES&KELLER
ATTORNEYS AT LAW



Richard A. Nervig

SPECIAL COUNSEL

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Richard A. Nervig is a senior commercial and securities litigation attorney licensed in California, Colorado, and Arizona (inactive). For more than three decades, he has represented investors, financial professionals, and businesses in complex disputes involving fraud, Ponzi-like investment schemes, unregistered securities offerings, SEC and state regulatory defense, business dissolutions, and bankruptcy adversary proceedings. In addition to operating his own litigation practice, he has served as Of Counsel to the AV rated class law firm of Johnson & Fistel, LLP and as Managing Counsel of a mass arbitration practice group for McCune, Wright & Arevalo, LLP. Richard also serves as an adjunct professor of Business Law at California State University San Marcos.

Throughout his career, Richard has successfully prosecuted securities fraud, breach of fiduciary duty and negligence claims in FINRA and AAA arbitration and in state and federal court including appointment as class counsel. Richard has recovered in excess of $20M on behalf of defrauded investors. Richard also routinely defends investment advisors and registered representatives in SEC and state regulatory enforcement actions helping clients avoid substantial penalties including statutory disqualification. Richard also has prevailed in substantial bankruptcy adversary proceedings relating to the nondischargeability of securities violations including appeals before the U.S. Court of Appeals for the Tenth Circuit.

Richard's legal practice is grounded in a deep understanding of both the financial markets and the law. With experience spanning securities regulation, commercial transactions, and corporate governance, he provides clients with both litigation firepower and strategic counsel. His balanced background—as a litigator, former stockbroker, corporate counsel, and educator—allows him to navigate cases with precision and foresight.

REPRESENTATIVE MATTERS

- In re Behrends, 660 F. App'x 696 (10th Cir. 2016).
- IN THE MATTER OF THE ARBITRATION BETWEEN: CLAIMANTS, KAREN K. FRY ET AL., 2015 WL 108654 (FINRA).
- **IN THE MATTER OF THE ARBITRATION BETWEEN: CLAIMANTS, VIRGINIA COOLEY-LINDER COOLEY-LINDER RETAIL PROPERTY, LLCCOOLEY-LINDER"S FRENCH QUARTER,** 2011 WL 4449001 (FINRA)
- **IN THE MATTER OF THE ARBITRATION BETWEEN: CLAIMANTS, IRIS VICTOR BERGER IRIS VICTOR TRUST DTD 08/16/91 v. RESPONDENTS, OKOBOJI FINANCIAL SERVICES, INC.,** 2010 WL 4063188 (FINRA)
- **IN THE MATTER OF THE ARBITRATION BETWEEN: CLAIMANTS, LAWRENCE DONALD CASEY LAWRENCE DONALD CASEY ET AL.,** 2009 WL 1211673 (FINRA).
- **IN THE MATTER OF THE ARBITRATION BETWEEN: PUSHKIN, V. SUNAMERICA SECURITIES, INC.,**

2007 WL 188454 (N.A.S.D.).

- Luzuriaga v. R.C. Berger Construction, Inc., Court of Appeal, Fourth Dist., Div 2, California, 2021 WL 685196.

PUBLICATIONS & PRESENTATIONS

- **INVESTMENT SCAMS AND WHERE AND HOW TO GET YOUR CLIENTS' MONEY BACK**

  A primer on the prosecution of securities fraud claims in FINRA arbitration. Presented to the Southwest Riverside County Bar Association (SWRCBA) on January 21, 2016. Approved 1 hr. CA MCLE.

PRACTICE AREAS

Litigation
Securities Litigation / Enforcement Defense

ADMISSIONS

- Arizona (inactive)
- California
- Colorado
- U.S. District Court for the District of Arizona
- U.S. District Court for the District of Colorado
- U.S. District Courts for the Southern, Central, and Eastern Districts of California
- U.S. Courts of Appeals for the Ninth and Tenth Circuits
- Arbitrator, FINRA and SDCBA Fee Arbitration Committee.

MEMBER

- San Diego County Bar Association
- San Diego North County Bar Association
- Southwest Riverside County Bar Association
- Colorado Bar Association
- Denver Bar Association
- American Bar Association
- ABA Section of Litigation

LICENSED IN

California
Colorado

FEDERAL COURT ADMISSIONS

- U.S. District Court for the District of Arizona
- U.S. District Court for the District of Colorado
- U.S District Courts for the Southern, Central, and Eastern Districts of California

- U.S. Courts of Appeals for the Ninth and Tenth Circuits

EDUCATION

Ohio Northern University—Claude W. Pettit College of Law

J.D., May 1992

Metropolitan State University of Denver

B.A., May 1988