



## William McC. Montgomery

Mac Montgomery has been of counsel since 2010 with Keesal, Young & Logan in its Long Beach office after a 20-year career as in-house counsel for UBS Financial Services and its predecessor PaineWebber Inc. Mac's practice focuses on all aspects of the securities and futures industry as counsel in an advisory capacity and as a litigator. This practice includes advising on compliance issues, pre-litigation customer complaints and regulatory issues before the CFTC, NFA, NYSE, FINRA, and the SEC. As a litigator, Mac has handled and tried numerous cases involving sales practice violations, fraud, selling away, Ponzi schemes, raiding, and broker note cases. In addition, he has sought and received expungements for numerous financial advisors. He has handled hundreds of cases and appeared in state and federal courts in many states as well as before FINRA, NASD, PCX, NYSE, and the AAA. In addition, Mac has represented the CFTC, broker-dealers, futures commission merchants, and individuals in enforcement proceedings as a former regulator and as defense counsel.

Mac has tried over 35 jury trials to verdict in state and federal court and hundreds of bench trials and motions. He has also acted as counsel in well over 300 mediations. He has appeared on speaking panels at SIFMA, FINRA, and the Practising Law Institute and served as an NYSE/NASD/FINRA arbitrator for many years.

Mac graduated from the University of California, Santa Barbara with a B.A. in psychology. He received his J.D. from John Marshall Law School in Chicago, Illinois and joined the Cook County State's Attorney's Office in 1977 as an Assistant State's Attorney. He was subsequently promoted to Deputy Chief of Narcotics and Dangerous Drugs. During his career as a prosecutor, he tried numerous felony jury trials. He also wrote and argued appeals before the Illinois Appellate and Supreme Court.

In 1984, Mac joined the Commodity Futures Trading Commission in the Division of Enforcement and worked on many matters involving violations of the Commodity Exchange Act, bringing enforcement actions before the CFTC and injunctive matters in federal district court.

### **Position**

Of Counsel

### **Admissions**

- California (1989)
- Illinois (1977)
- United States District Courts in California

- United States District Courts in Chicago

## Education

- J.D., John Marshall Law School, Chicago, Illinois
- B.A. (psychology), University of California, Santa Barbara (1973)

## Practice Areas

- [Securities](#)

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## Office Location

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