

## Daniel L. Keppler

Principal

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Dan focuses on helping lawyers, accountants and other professionals mitigate risks and resolve complex disputes, often involving securities and business-related litigation.

Dan's practice includes complex business litigation, securities litigation, professional malpractice, class action litigation, appeals and alternative dispute resolution. He has experience negotiating and implementing complicated settlement transactions involving numerous claims and parties. He also counsels professional and institutional clients on risk management issues.

### Education

J.D., Gonzaga University School of Law (*magna cum laude*), 1992

B.A., Willamette University, College of Liberal Arts, 1989

### Honors & Recognition

*Best Lawyers in America*® Commercial Litigation and Litigation – Securities, 2022

Martindale-Hubbell AV Preeminent rating

### Professional Activities

Oregon State Bar

### Services

Litigation  
Alternative Dispute Resolution  
Antitrust & Consumer Protection  
Cannabis  
Class Action Litigation  
Environmental Litigation  
Financial Services  
Property Tax  
Securities & Finance  
Securities Litigation & Enforcement  
White-Collar Defense & Investigations

### Admissions

Oregon, 1992  
Washington, 2000  
U.S. District Court, District of Oregon, 1993  
U.S. District Court, Western District of Washington, 2018  
U.S. Court of Appeals for the 9th Circuit, 1996

- Securities Regulation Section
  - Chair, 2020
  - Chair Elect, 2019
  - Secretary, 2018
- Legal Ethics Committee
  - Chair, 2018
  - Secretary, 2016
- Bar Press & Broadcasters' Council, Member, 2006-2008
- Uniform Civil Jury Instructions Committee
  - Chair, 2001
  - Member, 1999-2001

Oregon Law Institute of Lewis & Clark School of Law, New Trends in Oregon

- Discovery/Mandamus Review, Speaker and Program Planner, 2013

## Community Activities

City Club of Portland

- Bicycle Transportation Advocacy Committee, Member, 2013-2014
- Liquor Privatization Research Committee, Member, 2013-2014
- Bicycle Transportation Research Committee, Chair, 2012-2013

Sunnyside Environmental School PTSA

- Board Member, 2008-2014
- Board Secretary, 2012-2013

## Experience

Spirit Partners, L.P. v. [Northwest Regional Law Firm].

In securities litigation, conducted depositions and drafted briefs in support of successful summary judgment motion in favor of defendant law firm before the trial court and in successful appeal.

[Injured Burn Victim] v. General Motors Corp.

In product liability C-K fuel tank litigation, drafted briefs in favor of plaintiff that successfully opposed manufacturer's motions to dismiss and summary judgment.

Jordan v. [Group of Executive Defendants].

In telecommunication securities litigation, drafted and argued successful motion to dismiss claims against a group of defendants.

Securities Exchange Commission v. Sunwest Management Inc. [and related litigation].

Drafted agreements and managed resolution of complex class action settlement of companion litigation on behalf of national law firms.

East Portland Imaging Center, et al. v. Providence Health System - Oregon, et al.

In healthcare antitrust litigation, drafted summary judgment motion on behalf of a physician group that helped persuade plaintiffs to voluntarily dismiss the physician group from the lawsuit. Then prepared claim against the physician group's insurer that resulted in reimbursement of nearly all litigation defense costs.

Crimson Trace v. [National Law Firm].

Successfully petitioned for mandamus review in Oregon Supreme Court on issue of first impression in Oregon concerning attorney-client privilege accorded to in-house counsel.

Christensen v. 501 PBB Group I, LLC.

Drafted and argued successful motion to dismiss securities lawsuit in Oregon Circuit Court on behalf of North Carolina law firm.

Adams et al. v. Perkins & Co. et al.

Drafted settlement agreements and implemented of complex securities class action settlement on behalf of regional law firm.

## News

38 Attorneys Named 2022 Best Lawyers in America; 11 Named Best Lawyers: Ones to Watch  
*Foster Garvey Newsroom*, 8.19.21

Working to Reform Campaign Finance Systems  
*Foster Garvey Newsroom*, 19

## Speaking Engagements

"The Litigation Aftermath of Aequitas Capital Management," Oregon State Bar Securities Regulation Section CLE  
Panel Discussion  
Virtual Event, 10.7.20

"Two Case Studies in Securities Litigation: Aequitas SEC Receivership (OR) and *Federal Home Loan v. Credit Suisse* (WA)," 40th Annual Northwest Securities Institute  
Panel Discussion  
Seattle, WA, 3.6.20

"State and Provincial Regulatory Updates," 39th Annual Northwest Securities Institute - Oregon State Bar

Panel Discussion

Portland, OR, 5.3.19

"Insecurity: The Interplay of Ethics and Liability for Securities Lawyers," 39th Annual Northwest Securities Institute - Oregon State Bar

Speaking Engagement

Portland, OR, 5.3.19

"The Clouds of Oregon's Blue Sky Law: Securities Liability Risks for Transactional Lawyers," Oregon State Bar Securities Regulation Section Meeting

Speaking Engagement

Portland, OR, 12.19.18

"Advertising in the Modern World," OADC 2018 Fall Seminar

Speaking Engagement

Portland, OR, 11.2.18

"Risks for Lawyers Under Oregon Securities Law," Deschutes County Bar Association Lunch

Speaking Engagement

Bend, OR, 5.10.18

"Ominous Clouds: Things That Can Make Blue Sky Lawyers Blue," WSBA 38th Annual Northwest Securities Institute CLE

Speaking Engagement

Seattle, WA, 5.4.18

"Securities Liability for Transactional Lawyers Under Oregon's *Expansive* Blue Sky Law," Oregon State Bar Securities Regulation Section Event

Speaking Engagement

Portland, OR, 12.20.17

"So You Think You Don't Practice 'Securities Law'?" Oregon State Bar CLE

Speaking Engagement

Tigard, OR, 9.13.17

"Oregon's Blue Sky Securities Law—Better Safe than Sorry," Oregon State Bar 2017 RELU Summer Conference

Speaking Engagement

Bend, OR, 8.18.17

"What You May Not Know About the Application of the Attorney-Client Privilege, Work Product Doctrine and Joint Defense Doctrine in Oregon," Oregon State Bar 2017 RELU Spring Forum  
Speaking Engagement  
Tigard, OR, 4.28.17

### **Publications**

Securities Liability for Transactional Lawyers: The Blues of Oregon's Blue Sky Law  
*inBrief (Oregon State Bar - Professional Liability Fund)*, June 2019

Presentation Outline: "Securities Liability for Transactional Lawyers Under Oregon's Expansive Blue Sky Law," Oregon State Bar Securities Regulation Section Event  
*GSB Newsroom*, 12.20.17

Mediation Confidentiality: Are there two interpretations of *Alfieri v. Solomon*?  
*GSB Newsroom*, 6.17