

Lucas T. Ritchie

Counsel

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"Lawyer of the Year"
- Securities



Voted "People's
Choice" Best
Securities Lawyer

Luke Ritchie is a securities and business litigator known for successfully guiding clients through the intricate hazards and exposure points they face when fighting high-stakes battles on multiple fronts—often, against not only federal and state investigators, but private litigants or

court-appointed receivers pursuing civil actions in parallel with such investigations. Luke specializes in securities and enforcement defense litigation, government investigations, and complex business disputes involving corporate governance and fiduciary laws.

Luke received back-to-back Lawyer of the Year - Denver recognition by Best Lawyers in America for Banking and Finance Litigation in 2027 and Securities Litigation in 2026. Luke was also recognized by 5280 Magazine as Top Lawyer (Securities) for four consecutive years beginning in 2021, by the National Law Journal as a 2021 "Litigation Trailblazer" and by Super Lawyers Magazine as a "Top 100" Colorado Super Lawyer every year since 2022. He has been interviewed and quoted about his cases and practice area by the Wall Street Journal, NPR's Marketplace, the Denver Business Journal, the Colorado Sun, and other news outlets. He is well known for his volunteer service and leadership at the bar and other civic/philanthropic organizations. In recent years, Luke was appointed by the Colorado Supreme Court as both a Member of the Colorado Civil Rules Committee and Commissioner on the Colorado Access to Justice Commission.

Luke's corporate clients range in maturity from the development stage to public companies and span sectors from fintech to manufacturing. He also represents executives, directors, compliance personnel, and board committees, as well as investment advisors, CFPs[®], and other professionals in the highly regulated financial services industry.

Credentials

Education

University of Denver Sturm College of Law, J.D., 2004

University of Colorado, B.A., *cum laude*, 2001; Philosophy

GOVERNMENT SERVICE

Colorado Supreme Court, Civil Rules Committee
Member

Colorado Supreme Court Access to Justice Commission
Commissioner

RECOGNITION

The Best Lawyers in America

Banking and Finance Litigation Lawyer of the Year - Denver, 2027

Securities Litigation Lawyer of the Year - Denver, 2026-2027

Litigation - Securities, 2020-2027

Litigation - Insurance, 2022-2027

Litigation - Banking and Finance, 2023-2027

Commercial Litigation, 2026-2027

Litigation - Labor and Employment, 2026-2027

Litigation - Real Estate, 2026-2027

Securities Regulation, 2027

Benchmark Litigation

Local Litigation Star - General Commercial

Litigation and Securities Litigation, 2020-2023

Law Week Colorado

"Barrister's Best" Best Securities Litigator, 2020, 2022

"People's Choice" Best Securities Lawyer, 2021, 2023-2024

Colorado Super Lawyers

Top 100: 2022-2026

Securities Litigation: 2018-2026

Rising Star: Business Litigation, 2009-2017

5280 Magazine

Top Lawyer, Securities, 2021-2024

National Law Journal Trailblazers in Litigation

2021

Martindale-Hubbell Rating: AV[®] Preeminent[™] (Highest)

LEGAL MEMBERSHIPS

Faculty of Federal Advocates, 2011-present

Colorado Bar Association

Chair, Business Law Section, 2022-2023

Chair, Litigation Section, 2019-2020

Chair, Securities Law Subsection, 2015-2021

Board of Governors, Litigation Section Representative, 2019-2021

Business Law Section Representative, 2023-present

Colorado Judicial Institute/CBA Joint Task Force Re Diversity on the Bench
Appointee/Member, 2021-present

Colorado Bar Association Leadership Training Program ("COBALT")
Class of 2024

BAR AND ADMISSIONS

U.S. Judicial Panel for Multi-District Litigation

U.S. Tax Court

Colorado

U.S. Supreme Court

U.S. Court of Appeals, 10th Circuit

U.S. District Court, D. Colorado

U.S. District Court, E.D. Louisiana

U.S. District Court, W.D. New York

COMMUNITY ACTIVITY

The Logan School for Creative Learning

Trustee, Board of Trustees, 2018-2023

Chair, Governance Committee, 2016-2020

WeeCycle Colorado

Board Liaison to CBA, 2009-present

Colorado High School Mock Trial Program

Championship Round Scoring Panelist/Juror, High School State Tournament 2019, 2022

Coach, Saint Mary's Academy, 2022-present

ARTICLES AND PRESENTATIONS

Author, "Privilege and Disqualification," Evidence in Colorado: Practice Guide, 3rd Edition.

Author, "What to Expect Regarding Regulatory and Enforcement Priorities," ColoradoBiz.

Co-Author, "Using Waivers of Liability to Protect Your Business During COVID," Colorado Bar Association Business Law Section Newsletter.

Co-author, "2 Key 10th Circ. Holdings In Western Union Derivative Suit," Law360.

Author, "Privilege and Disqualification," Evidence in Colorado: Practice Guide, 2nd Edition.

Author, "Privilege and Disqualification," Evidence in Colorado: Practice Guide, 1st Edition.

Presenter, "Dispute Resolution Strategies for Business Lawyers: What is available, How to Tailor it, and Common Pitfalls," Business Law Institute.

Presenter, "General Counsel's Perspective - What's Keeping Us Awake At Night," Business Law Institute.

Presenter, "Lessons from the Litigators - What We Wish We Could Have Told You," Business Law Institute.

Presenter, "Corporate Responsibility and the Intricacies of the Sarbanes-Oxley Act," University of Denver - Daniels College of Business.

Presenter, "Lessons from the Litigators: If Only We Could Have Warned You," Business Law Institute.

Presenter, "Day in the Life Series: Corporate Litigator," Supreme Court Atty Mentoring Program.

Presenter, Roundtable Discussion with Affinity Bar Leaders, CBA-CLE.

Presenter, "Living and Leading in 2020: Safely Leading Partners, Employees, and Clients in the New Covid-19 Normal," CO Litigators' Summit, CBA-CLE.

Presenter, "What Business Lawyers Do that Litigators Love," Business Law Institute, CBA-CLE.

Presenter, "The Ethics of Working Remotely," CBA-CLE.

Presenter, "Introducing Tung Chan: Q&A with the New Colorado Securities Commissioner," CBA-CLE.

Presenter, "Legal Ethics on Silver Screen 2.0," CBA-CLE, Ethics 7.0.

Presenter, "Knowing Your Audience: Trying Your Case Outside Metro-Denver," CO Litigators Summit, CBA-CLE.

Presenter, "Business Books & Records, Best Practices to Avoid Litigation Risk," Business Law Institute, CBA-CLE.

Presenter, "Legal Ethics on Silver Screen," Rocky Mountain Securities Conference, SEC.

Presenter, "Check-In with SEC's Regional Director, Denver Regional Office," CBA-CLE.

Presenter, "Maintaining Civility in the Most Heated Situations," CO Litigators' Summit, CBA-CLE.

Presenter, "Ethical Issues for Securities Professionals," Rocky Mountain Securities Conference, SEC.

Presenter, "Formation, Operation, and Dissolution: Litigator's Perspective on LLC Divorce," Business Law Institute, CBA-CLE.

Presenter, "Hot Topics for Public Companies in 2016: General Counsel's Perspective," CBA-CLE.

Presenter, "What to Do If the SEC Comes Knocking," Denver Business Journal - Managing Enterprise Risk for Your Company Series.

Practices

Commercial Litigation

Investigations

Securities

Cases

SECURITIES AND ENFORCEMENT DEFENSE

Counseling a major development-round investor in protecting/enforcing ownership rights with regard to a blockchain technology company's contentious restructuring transaction and related public offering.

Representing oil and gas executives in defending enforcement investigation into alleged violations of state securities act.

Representing accounting firm and sales entrepreneur in defending enforcement investigation into alleged violations of state securities act. Representing accounting firm and sales entrepreneur in defending enforcement investigation into alleged violations of state securities act.

Defended (co-counsel) municipal funds and former trustees in seven consolidated securities class actions alleging securities fraud and seeking damages in excess of \$1 billion.

Obtained a termination/no action letter in defending the co-founder/CEO of a digital asset issuer in an SEC investigation alleging violations of the anti-fraud provisions of the Securities Act, the Exchange Act, and the Advisors Act.

Obtained a termination/no action letter in defending a registered investment advisor in an enforcement proceeding alleging suitability violations.

Obtained a termination/no action letter in defending a mutual fund's former independent trustees in an SEC investigation alleging violations of the Investment Company Act of 1940.

Obtained a termination/no action letter in defending day-trader in an SEC investigation alleging market manipulation.

Obtained a favorable settlement and dismissal for a real estate development company and its principal in an enforcement action and parallel receivership actions alleging Ponzi scheme.

Obtained a favorable settlement and administrative order in defending a mutual fund's management team and an interested trustee in an SEC proceeding alleging violations of the Investment Company Act of 1940.

Obtained a favorable settlement and an administrative order for a registered investment advisor and its president in an SEC enforcement proceeding alleging violations of the anti-fraud provisions of the Advisors Act.

Obtained a favorable settlement and an administrative order for a venture capital fund's founder, C-Suite executive, and management company in an SEC investigation claiming violations of the Securities Act, the Exchange Act, and the Advisors Act.

Won judgment on behalf of a defrauded equity investor for the full investment amount plus attorneys' fees in a securities fraud action against a former business partner in the health supplements- industry venture.

Won judgment on behalf of a defrauded equity investor for the full investment amount plus attorneys' fees in a securities fraud action against former business partner in travel and leisure-industry venture.

Obtained a favorable settlement and dismissal for a business consulting and credit repair enterprise and its founder/CEO in an enforcement action alleging a Ponzi scheme.

BUSINESS DISPUTES/DIVORCES - CORPORATE GOVERNANCE AND FIDUCIARY LAWS

Representing co-founder/officer of workforce housing and disaster relief conglomerate in prosecuting claims for fraud, embezzlement, corporate governance, and fiduciary violations against business partners in connection with highly contentious business divorce proceedings.

Represented special committee of board of directors of a closely-held corporation in conducting internal investigation of company-to-executive lending activity and related corporate governance and controls. Negotiated favorable terms of repayment and established robust compliance processes on moving forward basis.

Won full dismissals of a putative class action and parallel dissenter's rights actions for a manufacturing company, C-Suite executives, and directors in shareholder litigation seeking to unwind a complex merger transaction and damages.

Defending a construction industry founder/officer in a highly contentious shareholders' derivative action seeking to unwind a purchase transaction, dissolution, and damages.

Defended founders/C-Suite executives of a national technology company in a shareholders' derivative action claiming minority oppression and seeking dissolution and damages. Obtained dismissal of four claims and favorable settlement of the remaining two claims.

Defending a founder/CEO of an architecture, design, and development conglomerate in highly contentious business divorce litigation involving intellectual property and tortious interference claims

Prosecuted business tort claims for a registered investment advisor against former partners in a FINRA industry dispute, and obtained a favorable settlement on the eve of arbitration.

EMPLOYMENT/COMMERCIAL LITIGATION

Won full dismissal after the first week of trial in defending seller of business against claims brought by a potential purchaser and in prosecuting counterclaims and cross-claims against multiple parties.

Won full defense verdict for a local nonprofit entity and its executive director in defending against a wrongful termination action filed by a former employee.

Won jury verdict for a regional business in the nutraceutical industry in defending against claims and in prosecuting counterclaims in a commercial contract dispute.

Won summary judgment in defending a publicly traded communications company against wrongful termination and age discrimination claims asserted by a former employee.

Won summary judgment, dismissal of subsequent appeal, and denial of subsequent petition for a writ of certiorari in defending a regional vocational college against Title VII racial discrimination claims asserted by a former employee.
