

Jose Lopez

Partner

lopez.jose@dorsey.com

Chicago – 312.999.7033



Jose helps clients achieve successful results in litigation, enforcement, and family office matters.

Jose is Dorsey's Chicago Office Head. He advises companies, officers, directors, and trustees in complicated securities litigation and enforcement matters involving both federal and state regulators. He also works closely with family office clients advising on fiduciary litigation and family office securities issues.

Jose draws upon his experience as a former senior enforcement attorney with the U.S. Securities and Exchange Commission (SEC) and as a former assistant state's attorney in Cook County in achieving favorable results in civil securities proceedings and enforcement matters with the SEC, U.S. Department of Justice (DOJ), Financial Industry Regulatory Authority (FINRA), Federal Trade Commission (FTC), Commodity Futures Trading Commission (CFTC), and the Illinois Securities Department and other state regulatory agencies. He also tries civil matters in federal and state court and in confidential arbitration proceedings.

Jose has extensive experience conducting internal corporate investigations, with a particular focus on alleged violations of federal and state securities laws. He has investigated multinational companies' compliance with the Foreign Corrupt Practices Act (FCPA) – including bribery and books and records violations – across operations in Mexico, India, South Korea, Central America, South America, Europe, and South Africa.

During his tenure with the SEC, Jose directed high-profile investigations and litigations involving revenue recognition, financial statement and disclosure fraud, insider trading, prime bank schemes, and registration violations. He also served as a member of the SEC's Cyberforce investigating internet securities fraud.

The Illinois Supreme Court has appointed Jose to successive annual terms as a member of its hearing panel. As a former assistant state's attorney in Cook County, he

Education

- Northwestern University Pritzker School of Law (J.D., 1995)
- DePaul University (B.A., 1992)

Bar Admissions

- District of Columbia
- South Dakota
- Illinois

successfully tried more than 40 cases and argued several cases before the Illinois Appellate Court. Additionally, he frequently speaks on panels regarding recent developments in securities litigation.

Select Experience

- Successfully defended Fortune 500 company in SEC revenue recognition investigation. *
- Defended entities and individuals in SEC pay-to-play investigations. *
- Defended corporate and individual defendants in a multi-level marketing case brought by the Federal Trade Commission. *
- Represented a former senior executive in investigation relating to allegations of improper revenue recognition. *

Court Admissions

- Supreme Court of the United States
- U.S. Court of Appeals for the Sixth Circuit
- U.S. Court of Appeals for the Seventh Circuit
- U.S. Court of Appeals for the Eighth Circuit
- U.S. Court of Appeals for the Ninth Circuit
- U.S. District Court for the District of Colorado
- U.S. District Court for the Western District of Tennessee
- U.S. District Court for the Northern District of Illinois - Trial Bar
- U.S. Tax Court

Professional Affiliations

- Board of Directors, The Chicago Committee, 2020-2025
- Ethics Commissioner, Metropolitan Water Reclamation District of Greater Chicago
- Former Co-Chair, ABA Securities Litigation Broker-Dealer Litigation Subcommittee
- Former Co-Chair, ABA Securities Litigation SEC Enforcement Subcommittee
- Fellow, American Bar Foundation
- Kellogg School of Management Advanced Leadership Program, 2019
- Kellogg School of Management Strategic Leadership Program, 2012
- Board Member, Hispanic Lawyers Scholarship Fund of Illinois
- Former Regional Chair of the Association of SEC Alumni
- Center for Creative Leadership Program, 2017
- Hearing Board Chair, Illinois Attorney Registration and Disciplinary Commission
- Member, The Economic Club of Chicago

Clerkships

- U.S. District Court for the Northern District of Illinois, Magistrate Judge Morton Denlow

Accolades

- *Chambers USA*, Litigation: White-Collar Crime & Government Investigations, Illinois, 2025-2026

- *Illinois Super Lawyers*®, 2005-2008, 2013-2026
- Crain's Chicago Business, "Notable Litigators & Trial Attorneys," 2025
- Securities Docket, "Enforcement Elite for 2025"
- Crain's Chicago Business, "Most Influential Minority Lawyers in Chicago," 2017
- *Peer Review Rated AV in Martindale-Hubbell (AV®, BV® and CV® are registered certification marks of Reed Elsevier Properties Inc., used in accordance with the Martindale-Hubbell certification procedures, standards and policies.)

*The Supreme Court of Illinois does not recognize certifications of specialties in the practice of law and no certificate, award or recognition is a requirement to practice law in Illinois.

Insights

June 16, 2026

Navigating the Financial-Institution Exemption under the Illinois Biometric Information Privacy Act

June 4, 2026

Jose Lopez Examines SCOTUS Decision Preserving SEC's Enforcement Powers