

David A. Baugh
PARTNER / WINDY CITY OFFICE

(312) 820-9900
dbaugh@saretsky.com



For more than 45 years, David has focused his practice on the financial services industry and representing lawyers, accountants, insurance agents and others in professional malpractice actions.

Prior to entering law school, David worked in the audit staff of a regional CPA firm located in Chattanooga, Tennessee. While there, he obtained his CPA certification. After obtaining his J.D. degree, David joined the Division of Corporation Finance of the SEC in the Washington DC office.

Following his time at the SEC, David entered into private practice where he has represented national and international securities firms, investment advisors, financial planners, lawyers and accountants in a variety of securities litigation, arbitration, mediation and regulatory matters in multiple forums including state and federal courts, FINRA, NASD, CFTC, AAA, SEC and multiple state securities commissions. David has handled over 1000 securities related matters during his years in private practice throughout the country defending claims involving fraud, misrepresentation, churning, unfair business practices, corporate raiding, regulatory licensing, breach of fiduciary duty, professional negligence and violation of various state and federal securities laws in virtually every type of investment vehicle. In addition, David has assisted many clients in navigating through inquiries, investigations and disciplinary actions by FINRA, the SEC, the Certified Planner Board, State Securities Commissions, Departments of Insurance and Boards of Accountancy in various states.

David regularly speaks at client annual compliance conferences about legal developments relevant to their business and has spoken nationally at various trade and industry organizations regarding multiple topics relating to securities law and FINRA arbitrations and enforcement action.

David is also an experienced commercial litigator in state and federal court with a diversity of experience litigating professional malpractice actions against lawyers, accountants, insurance brokers and agents and other professionals as well as contract, business and employment disputes with even a smattering of product liability, trademark and antitrust actions.

The Martindale-Hubbell Law Directory has awarded David its highest legal ability and ethical standards AV rating for years, a distinction shared by only about 10% of all attorneys. He has been nominated by his peers and selected as an Illinois Super lawyer and has received awards of Who's Who of American Lawyers and Top 100 Lawyers in Illinois by the respective magazines.

David is admitted to practice in Illinois and Tennessee. He has been admitted on a pro hac basis in multiple other states. He is also admitted in the United States District Courts for the Northern District of Illinois, Eastern District of Tennessee, Eastern District of Wisconsin and Northern District of Indiana as well as the United States Court of Appeals for the 6th and 7th Circuits.

In his free time, you can find David exploring nature and waterfalls in National parks, on the road with his wife, on the golf course with his 2 boys, watching the Georgia Bulldogs play football or playing with his German Shepherd Dog.

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EDUCATION

B.B.A. University of Georgia, 1975. Graduated Cum Laude
J.D. University of Tennessee Law School, 1978

ADMISSIONS

Illinois
Tennessee
United States District Court for Northern District of Illinois—Trial Bar
United States District Court for Eastern District of Tennessee
United States District Court for Eastern District of Wisconsin
United States District Court for Northern District of Indiana
United States 7th Circuit Court of Appeals
United States 6th Circuit Court of Appeals

HONORS & AWARDS

Martindale-Hubbell Law Directory, AV Rating
Super Lawyer—Illinois Super Lawyers Magazine
Who's Who of American Lawyers
Top 100 Lawyers in Illinois—Top 100 Lawyers in America Magazine

