



## Harvey R. Herman

PARTNER

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### Biography

Harvey R. Herman is a Partner of Clausen Miller P.C. and he is a member of the Clausen Miller Business Practice Group. He specializes his practice in the handling and trial of complex litigation. Harvey has represented large corporations, insurance companies, closely held companies, corporate officers and directors, investment firms, banks, broker-dealers, financial representatives and large insurance companies. As part of his practice, he has both defended and prosecuted business and commercial-based claims on behalf of his clients.

Harvey has prosecuted and defended security based lawsuits in federal and state courts and before the Financial Industry Regulatory Authority (FINRA). Harvey has also represented Directors and Officers liability insurers and individual Directors and Officers in numerous liability based claims. Harvey has represented Third Party Administrators and Financial Firms in the defense of ERISA based claims concerning Welfare Benefit Plans. He has prosecuted a variety of large business based claims throughout the United States achieving multi-million dollar recoveries. These lawsuits involved the prosecution and recovery of business interruption losses, lost profits and property damage. Harvey has represented financial representatives and insurance producers with regard to financial products including life insurance policies, annuities, and securities. Harvey obtained a record seven figure dollar jury award in Douglas County, Kansas arising out of damages suffered by a plastics manufacturing plant.

Harvey has represented Directors & Officers (D&O) Liability Insurers in numerous claims arising out of D&O policies. This representation has included representation as coverage counsel, representation in Declaratory Judgment litigation and serving as monitoring counsel for the D&O Insurers. Harvey has also represented the Directors & Officers directly in defense of claims which have been brought against them. These claims have included defense of securities claims, class action litigation, derivative lawsuits and government/regulatory litigation.

Harvey's trial work has been conducted throughout the United States. He has tried cases in both federal and state courts and he has conducted many arbitrations before the FINRA.

Harvey is an Arbitrator for the Financial Industry Regulatory Authority (FINRA). FINRA is the largest non-governmental regulator for securities firms doing business in the United States and was created through the consolidation of the National Association of Securities Dealers and the member regulation, enforcement and arbitration functions of the New York Stock Exchange. Harvey decides disputes between and among investors, securities firms and financial representatives.

Harvey is a member of the Federal Trial Bar, the State Bar of Illinois, the United States District Court for the Northern District of Illinois, the United States District Court for the Central District of Illinois, the Chicago Bar Association and the American Bar Association.

Harvey received his undergraduate degree from the University of Michigan. Harvey also received his law degree from the University of Michigan Law School.

## Education

J.D. University of Michigan Law School, 1982  
B.A. University of Michigan, 1977

## Bar Admissions

Illinois  
New York

## Court Admissions

U.S. District Court, Northern District of Illinois  
U.S. District Court, Central District of Illinois

## Memberships

Chicago Bar Association  
American Bar Association  
Illinois Trial Lawyers

## Awards

Martindale Hubbell BV® rating  
Leading Lawyers, 2020