



INDUSTRIES

Brokers / Dealers & Financial Advisors

Our team regularly represents broker/dealers, investment advisory firms, registered representatives and investors in arbitration and mediation before the Financial Industry Regulatory Authority (FINRA) and in state and federal court litigation.

We serve as outside general counsel for various independent financial advisor firms and have substantial experience with advising financial advisors on compliance, employment, commercial, real estate and wealth planning matters.

One of our greatest strengths is our substantial experience litigating disputes involving claims of churning, fraud, unauthorized trading, market manipulation, failed supervision, suitability, account liquidation, defamation, non-compete agreements, non-solicitation agreements, forgivable loans, promissory notes, raiding, TROs and other injunctive relief, discrimination, retaliation, whistle-blowing, and breach of contracts.