

Overview

Our team supports industry professionals, C-suite members, directors and officers, as well as both public and private institutions and regional securities brokerage firms in a vast array of financial product and securities, stock-drop securities, and class action matters.

Our services and knowledge are vast, and include:

- defense of state and federal securities industry arbitrations and disputes with customers and regulators, fraud, omission, and marketing claims; arbitration proceedings conducted through the National Association of Securities Dealers (NASD), the New York Stock Exchange (NYSE), the Financial Industry Regulatory Authority (FINRA), as well as state and federal courts when arbitration is not required.
- representation of public companies in all aspects of financial and securities litigation, including creditor's rights, lender liability defense and consumer banking disputes; trust and probate litigation, intra-firm and broker-dealer/customer Financial Industry Regulatory Authority (FINRA) disputes, including customer litigation and BI (formerly suitability/know your customer claims), selling off, churning, negligence, and breach of fiduciary duty; industry protocol and other employment and non-compete disputes, closely held shareholder litigation, and securities and financial industry class action lawsuits.
- defense and prosecution of intra-firm breach of non-competition agreements, misappropriation of trade secrets, recovery of training costs, and breach of fiduciary duty/claims related to registered representative recruitment
- cybersecurity services to help clients protect themselves from and effectively respond to cyber threats

Related Practices

- Business & Corporate