

FINRA Advice

Jackson Lewis P.C. represents hundreds of financial services employers subject to Financial Industry Regulatory Authority (FINRA) oversight. With a deep understanding of the financial services industry, we partner with our clients to navigate the nuances of FINRA arbitration and then arbitrate disputes to achieve the best possible results.

Our Recent FINRA Experience Includes

- Representation of major brokerage houses with FINRA/NASD arbitrations on discrimination and contract issues.
- Advised and counseled a premier global financial services firm in six FINRA arbitrations involving age discrimination, failure to pay bonus upon termination and disability discrimination.
- Defense of an international financial services firm against applications for injunctive relief and participated in hearings at the NASD/FINRA.
- Representation of a U.S. regional banking corporation in matters including discrimination and wrongful discharge charges, lawsuits and FINRA arbitrations, discrimination and wage and hour class actions and non-compete matters in court and before FINRA.
- Representation of a client in a FINRA arbitration brought by a major financial institution to collect two promissory notes totaling \$700,000, signed as part of an employment and compensation agreement.
- Representation of financial institutions in defamation and expungement claims before FINRA.
- Defense of a broker-dealer against customer claims, employment and compensation claims by registered representatives, restrictive covenant and “Protocol for Broker Recruiting” claims and “raiding” or interference claims between brokers.
- On behalf of a major financial institution, successful enforcement of a restrictive covenant against three brokers who went to another major bank with the client’s confidential information and attempted to solicit the client’s near-permanent customers. This required a dual track approach where a Motion for Temporary Restraining Order was first granted by the court, allowing for expedited arbitration at FINRA on the preliminary injunction and permanent award issues.

The Jackson Lewis FINRA Team

Matthew R. Byrne

Of Counsel

Cincinnati
(513) 898-0050
Matthew.Byrne@jacksonlewis.com

Theresa M. Marchlewski

Principal

Los Angeles
(213) 689-0404
Theresa.Marchlewski@jacksonlewis.com

Jennifer A. Schwartz

Principal

Miami
(305) 577-7600
Jennifer.Schwartz@jacksonlewis.com

Brian J. Christensen

Office Managing Principal

Overland Park
(913) 891-1018
Brian.Christensen@jacksonlewis.com

David K. Montgomery

Principal

Cincinnati
(513) 898-0050
David.Montgomery@jacksonlewis.com

Douglas G. Smith

Office Managing Principal

Pittsburgh
(412) 338-5151
Douglas.Smith@jacksonlewis.com

A. Robert Fischer

Principal and Office Litigation Manager

Austin
(512) 362-7404
Robert.Fischer@jacksonlewis.com

John M. Nolan

Office Managing Principal and Office Litigation Manager

Philadelphia
(267) 319-7840
John.Nolan@jacksonlewis.com

Mary A. Smith

Principal

White Plains
(914) 872-6907
Mary.Smith@jacksonlewis.com

Mark S. Mancher

Principal

Long Island
(631) 247-4629
Mark.Mancher@jacksonlewis.com

Steven Phillips

Principal

New York City
(612) 341-8131
Steven.Phillips@jacksonlewis.com

jacksonlewis.com/industry/financial-services

©2020 Jackson Lewis P.C. This material is provided for informational purposes only. It is not intended to constitute legal advice nor does it create a client-lawyer relationship between Jackson Lewis and any recipient. Recipients should consult with counsel before taking any actions based on the information contained within this material. This material may be considered attorney advertising in some jurisdictions. Prior results do not guarantee a similar outcome. Reproduction of this material in whole or in part is prohibited without the express prior written consent of Jackson Lewis P.C., a law firm focused on labor and employment law since 1958. Our 950+ attorneys located in major cities nationwide help employers develop proactive strategies, strong policies and business-oriented solutions to cultivate high-functioning workforces that are engaged, stable and diverse.

jacksonlewis.com