JacksonLewis

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.

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