

Securities Industry Professionals

Our legal team defends professionals and firms within the securities industry in a wide range of professional liability lawsuits. The Kaufman Dolowich attorneys of our Professional Liability/Errors and Omissions Practice have extensive experience counseling and defending brokers-dealers, registered representatives, investment advisors, financial planners and other financial professionals across the nation. Our legal team includes former regulators and former in-house counsel with an advanced understanding of the industry and the evolving regulatory landscape impacting securities industry professionals.

Allegations of negligence or professional misconduct have the potential to destroy one's professional career. When claims of this nature surface, our attorneys understand how distracting and troublesome these claims can be for our clients. Our practitioners have decades of collective experience defending individual brokers, brokerage firms and other financial professionals in professional liability matters in state and federal courts. We represent securities industry professionals in disciplinary actions and regulatory inquiries by government bodies, including the SEC and state securities agencies. The Kaufman Dolowich legal team also handles securities arbitration claims before FINRA and the AAA.

Protecting the Careers and Business Reputations of Securities Industry Professionals

Kaufman Dolowich professional liability attorneys strive to provide securities industry professionals and organizations with highly skilled, cost-effective legal representation at every stage of the process. We have the knowledge and resources necessary to successfully represent clients in professional liability suits, disciplinary proceedings and regulatory actions involving all types of securities-related claims, including:

- Securities Fraud
- Misappropriation
- Unsuitable Investments
- Unauthorized Trades
- Undisclosed Compensation
- Misrepresentations
- Misappropriation
- Financial Elder Abuse
- Selling Away
- Churning
- Breach of Fiduciary Duty

When professional liability issues and claims arise, our attorneys undertake an early assessment with the objective of settling the matter as quickly as possible. Cognizant of our clients' business reputations and bottom lines, we work to resolve the claim as favorably as possible while doing everything possible to protect their careers and good standing in the community.

We also represents securities industry clients in intra-industry disputes, which may be venued in courts or in arbitrations. Such disputes include:

- Indemnity Agreements
- Unfair Competition

- Usurpation of Proprietary Information and Interference with Contracts
- Defamation involving U-4 and U-5 Forms
- Employment Practices
- Wrongful Termination
- Pay Discrepancies
- Gender Discrimination

Beyond the defense of securities industry professionals, the attorneys at Kaufman Dolowich routinely assist clients in identifying and mitigating liability risks associated with their professional activities. Our lawyers also carefully monitor emerging developments within the securities industry and work with our clients to develop and implement best practices for legal and regulatory compliance.