



FINRA/AAA Arbitrations (Customer & Industry Disputes)

Securities Arbitrations before FINRA, AAA and other Arbitral Forums

The attorneys of Kaufman Dolowich's Financial Services Practice represent financial services professionals in securities arbitration claims before the Financial Industry Regulatory Authority (FINRA) and the American Arbitration Association (AAA), as well as in other arbitral forum that investors or industry members sometimes choose, such as the Judicial Arbitration and Mediation Service ("JAMS"). Our lawyers handle arbitrations involving customer and intra-industry disputes on behalf of brokers-dealers, registered representatives, investment advisors and other financial professionals located throughout the United States. We combine our keen insight of the financial services industry with an in-depth understanding of the procedural rules and nuances associated with securities arbitration to seek the best possible outcomes for our clients.

Customer Disputes

Our financial services attorneys have extensive experience resolving customer claims brought against financial professionals and institutions working throughout the financial services sector, against all types of customer claims, including:

- Investment Fraud
- Unauthorized Trading
- Account Churning
- Over-Concentration
- Unsuitability
- Misappropriation
- Financial Elder Abuse
- Selling Away
- Undisclosed Compensation
- Misrepresentation
- Breach of Fiduciary Duties

Our legal team represents clients in conflicts involving a wide spectrum of financial products ranging from traditional investments, such as stocks, bonds and mutual funds, to more unusual investments, including auction rate securities, REITs, private offerings and options. We also have successfully obtained FINRA expungement rulings on behalf of registered representatives. In every matter we handle, our lawyers provide clients with an early assessment of the claim brought against them. Cognizant of the serious damage these types of disputes can wreak upon our client's careers and businesses, we aggressively protect and defend our clients at every stage while working to resolve the matters as quickly and cost-efficiently as possible.

Intra-Industry Disputes

Beyond customer disputes, Kaufman Dolowich attorneys represent securities industry members during intra-industry disputes, including actions involving:

- Promissory Notes
- Selling Agreements

- 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

Our lawyers have a keen understanding of the securities industry and the rules and regulations governing the conduct of its participants, as well as state law remedies for contract or tort suits between industry members. While we aim to achieve a negotiated settlement when these types of intra-industry disputes surface, our attorneys are prepared to vigorously represent our clients' interests in FINRA arbitrations and other forums.