

## Practices

# Broker-Dealer

In today's ever-changing financial industry landscape, broker-dealers face myriad challenges from new regulations, litigation, and management of legal costs. Offering a broad range of legal services to the financial services community, Akerman helps broker-dealers successfully navigate these challenges. With a team that includes former industry senior legal and executive officers and government lawyers, our experience and insight enable us to skillfully guide clients through federal and state court class and direct actions, appeals, arbitrations, mediations, and proceedings before the U.S. Department of Justice, U.S. Securities and Exchange Commission, Commodity Futures Trading Commission, Financial Industry Regulatory Authority, CME Group Inc., other self-regulatory organizations, and state securities agencies. We represent clients in all types of regulator inquiries, investigations, cycle, sweep and cause examinations, and Wells submissions.

Our clients include international, national, and regional brokerage firms, clearing firms, and independent broker-dealers and their officers, directors, and personnel.

## What We Do

- Federal and state court trials and appeals
- FINRA arbitrations and mediations, including sales practice and supervision disputes
- Internal investigations

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## Connect With Us



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## Our Team

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## Related Work

Class Action Defense  
Employment  
Administrative Claims  
Defense  
Financial Services  
Litigation  
Securities Litigation  
Trade Secrets,  
Restrictive Covenants,  
and Unfair Competition

- Broker-dealer compliance policies and procedures
- Broker-dealer SEC registrations and new and continuing FINRA membership applications
- Broker-dealer recruiting and raiding litigation
- Employment litigation and arbitrations involving discrimination and harassment claims, wrongful discharge, and Form U5 defamation claims
- Restrictive covenant disputes, misappropriation of trade secrets claims, and unfair competition claims