

## Practices

# Broker-Dealer

In today's ever-shifting financial landscape, broker-dealers face myriad challenges posed by changing regulation, litigation, and management of legal costs. Offering a broad range of legal services to the broker-dealer and financial services community, Akerman helps clients successfully address such challenges. With a team that includes a former general counsel and senior executive from the broker-dealer industry and former SEC lawyers, our unique and effective insight into sales practice, employment, and product issues as well as complex securities transactions enables our attorneys to skillfully guide clients through litigation, arbitration, regulatory, advisory, and transactional matters, as well as internal and external investigations.

We represent national and regional brokerage firms, clearing firms, independent firms, individual registered representatives, Registered Investment Advisors, public companies, and corporate officers and directors in state and federal courts, FINRA and AAA arbitrations, pre- and post-litigation mediation, and regulatory investigations and enforcement proceedings before the SEC, SRO, FINRA, CFTC, and state regulatory agencies.

## What We Do

- Securities litigation and class action defense
- FINRA arbitration
- Broker-dealer recruiting and raiding litigation
- 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

- Compliance policies, procedures, and advisory services
- Compliance and legal presentations
- Sales practice, fraud, negligence, and supervisory disputes with customers
- Product disputes, mass, and class action matters
- Employment litigation and arbitration involving discrimination and harassment claims, wrongful discharge, and U5 defamation claim
- Restrictive covenant disputes, misappropriation of trade secrets claims, and unfair completion and raiding claims