Lightfoot

FINRA SECURITIES ARBITRATION

Lightfoot's FINRA Securities Arbitration practice draws on a wealth of trial experience.

Representing both broker-dealers and individuals, Lightfoot attorneys bring extensive FINRA securities arbitration experience to the table. Unlike many lawyers working in this area who focus solely on arbitration, we also draw on our deep trial and courtroom proficiencies. This allows us to maximize our effectiveness and approach each matter from a comprehensive perspective.

Lightfoot arbitrates matters involving a variety of claims before FINRA to final award and have also handled many other arbitrations that have reached an early resolution. Our group regularly represents clients in arbitrations involving customer allegations, product complaints, employment issues, wrongful termination claims, Form U-5 issues, Ponzi scheme allegations and the actions of rogue brokers.

We work with broker-dealers who are the subject of internal investigations or are confronted with situations where either a new hire or a departed representative is alleged to have switched firms in violation of their nonsolicitation covenants and obligations. In addition, we also defend broker-dealers against customer claims of improver activity or account mishandling.