



Broker-Dealer Disputes

Burr & Forman represents various size brokers, regional firms, and local boutiques against selling away claims and the entire gamut of allegations, including suitability claims, disclosure violations, trading disputes, underwriting claims, product cases, investment banking claims, and other claims arising in this context.

We also defend clients on claims related to:

- Breach of fiduciary duty
- Failure to disclose material facts
- Intentional misrepresentation of fact
- Professional negligence
- Selling away allegations
- Unsuitability
- Vicarious liability

We try these, and other related broker-dealer cases, to verdict and handle hundreds of arbitrations of various complexities throughout the country for our clients with claim damages up to \$100 million. Additionally, our partners serve as FINRA arbitrators and have arbitrated the same for other parties.

Our commercial litigation attorneys also represent clients in the pursuit to rectify losses or defend against claims related to breach of restrictive covenant agreements, such as breach of non-competes, non-solicitation, non-dealing, and non-poaching agreements.

Our attorneys advise broker-dealers and municipal and investment advisors on regulatory and compliance matters and assist companies with internal investigations and inquiries involving Financial Industry Regulatory Authority (FINRA), the U.S. Securities

PROFESSIONALS

Elena Bauer

Michael K. K. Choy

Benjamin B. Coulter

Victor L. Hayslip

Thomas K. Potter, III

RELATED AREAS

Commercial Litigation

Corporate Governance & Shareholder Disputes

Mediators & Arbitrators

Securities

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Financial Services

Broker-Dealer Disputes

and Exchanges Committee (SEC), and related state departments and agencies (Florida Office of Financial Regulation's Securities Division, Alabama Securities Commission, Tennessee Department of Commerce and Insurance's Securities Division, etc.).

We have an extensive library of briefs and motions and applicable law, as well as checklists, tips, and best practices for our clients, for almost every conceivable legal issue arising in this context. This allows our team to not only be up-to-speed on the issues but also on potentially adverse legal developments.

News

- 58 Burr Attorneys Named to 2023 Mid-South Super Lawyers and Rising Stars List
Firm News, 11.28.2023
- Burr & Forman Earns National and Metro Rankings in 2024 Best Law Firms List
Firm News, 11.02.2023