



## Broker Dealer and Investment Advisor Disputes

Troutman Sanders' attorneys represent a wide variety of securities brokerage firms and investment advisors including national and regional players throughout the U.S.

We handle the full spectrum of broker/dealer disputes, including:

- FINRA, NASD, SEC, NYSE and state regulatory investigations/complaints
- sanctions proceedings
- initial claim analysis
- early dispute resolution
- motions to compel arbitration
- defense, mediation and arbitration of customer and broker claims
- post-hearing challenges to arbitration awards in state courts

Troutman Sanders has proudly represented:

- Banc of America Investment Services
- Merrill Lynch
- UBS
- PaineWebber
- J.C. Bradford
- Wachovia Securities
- Scott & Stringfellow
- Brown Brothers Harriman
- BB&T Capital Markets
- Jessup & Lamont Securities
- Bergen Capital
- SunAmerica Securities
- AIG Financial Advisors
- Investors Security Company, Inc.
- Other regional b/ds and RAs
- Individual brokers

Our customer claim expertise includes:

- churning
- suitability
- selling away
- failure to execute
- fraud/conversion
- failure to supervise
- municipal bond sales and pricing
- options
- commodities
- restricted securities
- margin calls
- breakpoint pricing
- "financial suicide" claims
- sales of mutual fund "B shares," "C shares," etc.
- variable annuities

Our broker relations expertise includes:

- U-5 defamation
- post-termination commission and loan disputes
- breach of contract and fraud in the inducement
- "raiding and recruiting" claims
- expungement of unwarranted customer claims from CRD records



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