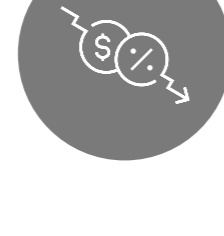


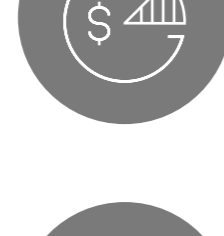
What You Need to Know About Securities Arbitration



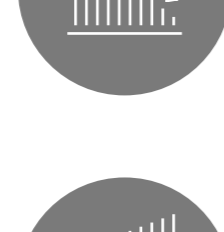
WHAT CLAIMS ARE HANDLED IN Securities Arbitration?



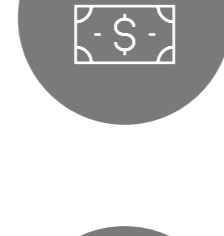
Churning, also known as excessive trading, involves buying and selling securities in an investor's account for the purpose of generating fees and commissions.



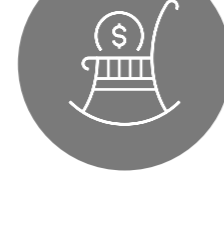
Unauthorized trading is a potential sign that you are a victim of investment fraud.



Unsuitable investment recommendations can cause unexpected losses when investors can least afford them, and they will often provide grounds to seek financial recovery through FINRA arbitration.



Breach of fiduciary duty happens when investment professionals fail to make investment recommendations with their clients' best interests in mind.



Negligence is essentially a claim for broker malpractice stating the broker did not act as another peer reasonable and prudent broker would have acted.

Arbitration Process and Timeline

1

File a Claim

Your claim starts with a Statement of Claim and Submission Agreement.

2

Arbitrator Selection

Arbitrators are selected from a random list based on an algorithm.

3

Initial Prehearing Conferences & Discovery

During your prehearing conference, you will meet the parties and arbitrator to set dates for other important milestones.

4

Hearings

similar to what you would expect from a trial, your hearings allow each side to present their case.

5

Decisions & Awards

The arbitrator will make a final decision based on the evidence presented within 30 days.

Investment Activity Leading to Securities Arbitration



YES Strategy Investing

One type of investment strategy that has been rising in popularity among large investment firms is the "yield enhancement strategy," or "YES" strategy. A seemingly "low-risk" investment led to heavy losses.



FINRA Violations

Financial fraud is a very real issue for individual investors. From incompetence to intentional efforts to profit at investors' expense, there are numerous types of financial fraud that can lead to substantial investment losses.



Securities Litigation

Securities fraud is a pervasive issue, and many investors find themselves in need of a securities litigation law firm.



Mutual Fund Fraud

Mutual funds are subject to the risks of market volatility and financial losses.



Over-Concentration/-Failure-to-Diversify

When an investment portfolio contains a disproportionate amount of a single company's stock, investors can be at risk for excessive losses.



Ponzi Schemes

Ponzi schemes generally attract unsuspecting investors by promising high returns with low risk.

REASONS TO HIRE A

Securities Arbitration Attorney



An attorney can help you get started early and determine the likelihood of success based on the facts of your case.



Working with an attorney who has amassed decades of experience in this complex area of law means arbitration can be faster and less expensive.



Speaking with an attorney is confidential so you can be sure you're getting legal advice privately.



An attorney can act as a third-party neutral to help keep emotions and expectations in check.



An attorney takes the weight off your shoulders and ensures you will be appropriately presented to the arbitrators.



Working with experienced attorneys provides the greatest chance of a fair recovery of investment loss.



Damages Awarded in

Securities Arbitration

1

Trading loss.

2

Dividends and interest

3

Well-managed account losses

4

Rescission

5

Disgorgement

6

Punitive damages

7

Litigation costs and legal fees

Class Actions vs. Individual Securities Arbitration Claims: What's Better For You

Class Action Lawsuit

Individual Securities Arbitration Claims

1

Best for helping a group of investors with smaller losses

2

You benefit from other stronger cases included in the class action

3

Fewer responsibilities and obligations throughout the process

1

Ideal when your losses are greater, as it may result in a larger recovery of investment loss

2

Arbitrators can focus on the uniqueness of your loss

3

Faster than class actions and will have limited costs for an appeal