

We are a recognized leader in providing timely and practical advice and counsel to clients in the financial services industry.

Drawing on a wealth of nationwide trial and arbitration experience, as well as a deep understanding of the financial services industry, our lawyers are vigorous and effective advocates for clients confronting the complex challenges raised by doing business and employing individuals in the financial services industry.

We speak the language of broker-dealers and registered representatives. When the stakes are high, our litigators are fully prepared to aggressively assert, protect, and defend our clients' interests and reputations before state and federal courts, state and federal regulatory agencies, securities exchanges, and self-regulatory organizations, such as the Financial Industry Regulatory Authority (FINRA). Shumaker lawyers also provide full representation to clients in the areas of



We have helped national brokerage firms grow their broker-dealer teams through strategic recruiting techniques and protection for new recruits while avoiding legal entanglements.

OUR CLIENTS

- Broker-dealers
- Registered representatives
- Investment advisors
- Securities firms
- Financial institutions
- Corporate officers and directors
- Investors

OUR SERVICES

We advise, counsel, litigate, and/or arbitrate:

- Disputes involving financial services recruitment practices
- Employment separation issues, including representation in the recovery of deferred compensation
- Trade secrets, non-compete, and non-solicitation agreements
- Raising disputes between broker-dealers
- Promissory note disputes
- Data breach issues
- Trading and licensing issues before state and federal securities regulatory agencies, securities exchanges, and other self-regulatory organizations (SROs)
- Drafting of employment documents, including loan documents for broker-dealers that reflect the state of the financial services industry and sunset agreements for brokers
- Initiation of financial services industry business entities
- RIA Asset Purchase Agreements and Strategy
- Defense of "garden leave" or "notice" provisions in employment contracts
- Mediation, negotiation, and alternative dispute resolution of financial services industry cases
- Expungements
- Regulatory and disciplinary matters before state and federal securities regulatory agencies, securities exchanges, and other SROs
- Employment law issues
- Customer disputes against broker-dealers in arbitration and in court alleging inappropriate investment and trading strategies
- Transition Compliance Audits
- Financial Industry Class Actions

Team Taaffe publishes a quarterly update, outlining financial issues worth keeping an eye on.

- [Team Taaffe Broker Dealer Digest, Issue 1](#)
- [Team Taaffe Broker Dealer Digest, Issue 2](#)



[Michael Taaffe](#)

Chair of the Financial Services
Business Sector



[Michael Bressan](#)

Partner



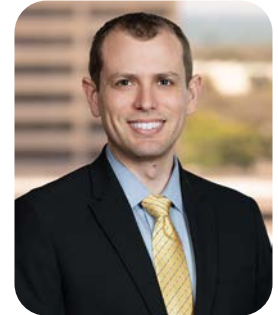
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