Shumaker

FINANCIAL SERVICES

We provide experienced guidance and timely, practical advice to clients in the financial services industry to help them navigate financial challenges.

Backed by extensive nationwide trial and arbitration experience, our attorneys are vigorous and effective advocates, helping clients navigate the complex challenges of doing business and managing personnel in the financial services sector.

WE ADVISE, COUNSEL, LITIGATE, AND/OR ARBITRATE

- Disputes involving financial services recruitment practices
- Employment separation issues
- Trade secrets, non-compete, and non-solicitation agreements
- Raiding disputes between broker-dealers
- Promissory note disputes
- Data breach issues
- Trading and licensing issues
- Employment documents, including loan documents
- Initiation of financial services industry business entities
- Defense of "garden leave" or "notice" provisions in employment contracts
- Regulatory and disciplinary matters before state and federal securities regulatory agencies, securities exchanges, and other self-regulatory organizations (SROs)
- Customer disputes against broker-dealers in arbitration and in court alleging inappropriate investment and trading strategies
- Compliance with and enforcement of terms of the Protocol for Broker Recruiting and restrictive covenant compliance in non-Protocol transitions



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Financial Services Industry Attorneys



Helping Clients Move Forward with Confidence Since

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OUR SUCCESSES

Shumaker Wins One of the Largest FINRA Awards for an Individual Broker

Shumaker Continues to Succeed in Shift to Virtual Litigation

Shumaker Attorneys Defeat $1.2 Million Promissory Note Claim in FINRA

Shumaker Broker-Dealer Team Wins $3 Million Defamation Award

Shumaker Wins Defamation Case for Financial Advisor Against Merrill Lynch

2026

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