



Securities Brokers' Liability

Hinshaw's Professional Liability attorneys have substantial experience in the representation of broker-dealers, investment advisory firms and commodities futures merchants, and their sales representatives and traders in a wide array of litigation. This includes customer suitability litigation, employment litigation, enforcement proceedings, and exchange investigations and arbitrations. We also represent such firms in responding to regulatory sales practices sweeps and investor class actions. Our Professional Liability Practice attorneys have appeared on behalf of clients before the Commodities Futures Trading Commission (CFTC) Reparations Program, Financial Industry Regulatory Authority (FINRA), National Futures Association (NFA), U.S. Securities and Exchange Commission (SEC), and the Certified Financial Planner Board of Standards, Inc. We also represent life insurance companies and agents on claims arising out of the sale of variable life insurance products.

Attorneys

[Emilia Rubin](#)

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