



Financial Services

Miller Canfield attorneys have extensive experience representing broker/dealers, accountants, and professionals, banks, insurance companies, issuers, financial institutions, investment advisors, and others in all types of disputes over securities offerings, investments, and transactions and the conduct of agents and registered representatives. We regularly represent broker/dealers and individuals in actions relating to non-compete provisions, trade secrets, customer lists, and compensation disputes. We also provide assistance in dealing with shareholder disputes.

We have handled scores of cases in the state and federal courts, before regulatory bodies such as the Securities and Exchange Commission, state regulatory agencies, and the self-regulatory organizations including the National Association of Securities Dealers (NASD), the New York Stock Exchange (NYSE), and the American Arbitration Association (AAA). Our attorneys are members of the NASD and NYSE arbitration panels, and one of our attorneys has received special NASD training and has served as an injunction arbitrator in intra-industry disputes.

We are experienced in managing large complex securities matters, but also efficiently handle the small arbitration case. One broker/dealer client outsourced its entire General Counsel function to us, and while another client uses us nationwide in agent misconduct cases.