

Financial Services Liability

The Financial Services Industry Group is primarily focused on resolving conflicts in the wealth management, securities and insurance industries, and counseling professionals and business executives on strategies to mitigate legal liability.

Plunkett Cooney attorneys are uniquely qualified to represent professionals in the financial services industry, having acquired such specialty licenses as Series 6, Series 7, Series 63, Series 65, Series 66, Accident, Health & Life Insurance certification, Chartered Property and Casualty Underwriters (CPCU) designation, as well as FINRA arbitration certification.

In addition, our attorneys are among the most accomplished trial lawyers and appellate law practitioners in the state with numerous published decisions to their credit in state and federal court. The group's clients include investment advisors, financial planners, broker-dealers, registered representatives, corporate directors and officers, insurance agents and other professionals involved in the financial services industry.

Our attorneys represent clients facing alleged violations of federal securities laws, including Section 10b-5, Blue Sky laws, common law fraud (MCLA 451.810(a)), ERISA, negligent misrepresentation, professional malpractice and common law fraud.

Directors & Officers Liability

Corporate board members and executives are increasingly being targeted by stockholders and other parties who bring a variety of actions against them, including regulatory complaints and litigation involving employment issues, rescission, severability, corporate indemnity and securities fraud class actions. Corporate governance disputes are also prevalent today with claims ranging from bad faith to breach of fiduciary duty to negligence.

Plunkett Cooney represents public and privately-held companies in such matters directly and through their insurance providers. Our attorneys work with their clients to proactively address corporate governance issues through the implementation of loss prevention programs, and they conduct internal investigations to address alleged wrongdoing by corporate executives, boards and committees.

Employment Issues

The members of Plunkett Cooney's Financial Services Industry Group draw upon the expertise of the firm's employment law attorneys to represent brokerage firms involved in employment litigation. These matters are wide ranging and include, but are not limited to, claims of sexual harassment, wrongful discharge, employment discrimination, Whistleblower claims, covenants not to compete, confidentiality/trade secret disputes and compensation agreements.

Customer Complaints

Another important aspect of Plunkett Cooney's practice entails the representation of clients involved in disputes with customers stemming from such issues as suitability, churning,

commissions and fees, misrepresentation, unauthorized trading, securities law and alleged regulatory violations.