

FINRA Arbitrations

CPM represents workers in proceedings before the Financial Industry Regulatory Authority (“FINRA”), a private corporation that oversees U.S. securities markets and organizes arbitration hearings to settle disputes between employers and employees. FINRA arbitration has become increasingly important in protecting employee rights with the recent surge in the use of mandatory arbitration clauses in employment contracts. While CPM strongly believes that workers should be able to vindicate their legal rights directly through the courts rather than before a panel of privately employed arbiters, we have achieved positive results for workers in numerous FINRA arbitration proceedings.

If you have an employment dispute that is governed by FINRA arbitration, please follow up with Adam Zapala or Tamarah Prevost.

- Email Adam
- Email Tamarah
- Call Adam or Tamarah at (650) 697-6000.

Noteworthy Cases

Sullivan v. Advanced Equities Inc. ("AEI")

FINRA Arbitration

CPM successfully represented an employee in FINRA arbitration. The FINRA panel found that the employer had falsely accused the employee of violations of company policy and had fraudulently induced the employee to join the company. The arbitrator awarded both compensatory and punitive damages. This is one of many examples of cases CPM has handled before FINRA.

Key Contacts

Adam J. Zapala
azapala@cpmlegal.com

Tamarah P. Prevost
tprevost@cpmlegal.com