

# Successfully Handled a FINRA Arbitration

Amundsen Davis successfully handled a Financial Industry Regulatory Authority (FINRA) arbitration representing a stock broker who was claimed to have been negligent and breached fiduciary duties. The client allegedly liquidated accounts and made improper investment recommendations into other accounts. The arbitrators found in our client's favor and awarded attorney fees. We successfully had the claim expunged from the client's Central Registration Depository (CRD) by a circuit court judge.

## PROFESSIONALS

Patrick J. Lubenow  
Special Counsel

## RELATED SERVICES

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