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Financial Services Practice Group

Seyfarth Shaw's Financial Services Practice Group represents investment banks, retail and institutional broker-dealers, insurance companies, hedge funds, private equity firms, investment advisers, banks, and venture capital groups.

Our team consists of experienced lawyers who understand the unique business and compliance issues facing financial services clients. Seyfarth attorneys across the country defend employers involved in virtually every facet of the industry in every type of employment claim.

What We Do:

Arbitration

We represent financial services clients in every forum nationwide, including FINRA, AAA and JAMS. We have a comprehensive understanding of forum-specific arbitration rules and procedures, experience appearing before hundreds of arbitrators throughout the country, and strong connections with industry experts.

Complex Litigation

We handle state and national class and collective actions for financial-services companies. Our matters include a wide variety of claims under federal and state laws, including:

- ✓ Employment discrimination
- ✓ Employee misclassification, including independent contractors, and federal and state "white collar" exemptions
- ✓ Wage-hour compliance issues relating to meal and rest breaks, overtime, minimum wage, and PAGA
- ✓ ERISA

Single-Plaintiff Litigation

We defend industry clients against the full spectrum of employment claims including:

- ✓ Wrongful termination
- ✓ Bonus forfeiture and other deferred compensation claims
- ✓ Whistleblower retaliation
- ✓ U-5 defamation and expungement
- ✓ Discrimination and harassment
- ✓ Fraud and breach of contract

Workplace Counseling & Compliance

We advise employers on industry-specific employment issues, including:

- ✓ “Clawbacks” of sign-on bonuses and deferred compensation
- ✓ Liability risks arising from high-exposure joint-employer scenarios (including with portfolio companies and affiliates), M&A deals, and investments
- ✓ Employee benefit plans
- ✓ Privacy and confidentiality concerns
- ✓ Workplace investigations and in-house training
- ✓ Whistleblowing and retaliation, including Dodd-Frank and Sarbanes Oxley
- ✓ Industry-specific policies and handbooks
- ✓ Regulatory compliance in hiring, background checks, and fingerprinting
- ✓ Protection of trade secrets and other proprietary information
- ✓ Broker-dealer issues, ex-pat issues, and international moves

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