



Professional Liability

Our litigation attorneys provide expert representation on professional liability matters for a broad range of professional services. We have handled matters involving real estate brokerages, securities broker-deals, insurance brokerages, investment advisors, actuaries, and accountants, and we are familiar with the wide variety of legal challenges facing today's service providers and professionals.

While our Professional Liability experience covers a broad spectrum of professions and service providers, our focus is on financial institutions and their professionals, as well as those encompassed in what is generally referred to as Miscellaneous Professional Liability.

Our attorneys regularly handle professional liability matters in civil court, state and federal, as well as alternative forums, such as arbitration before the Financial Industry Regulatory Authority (FINRA, formerly the NASD) the America Arbitration Association (AAA), JAMS Endispute, and private mediation:

- Representing securities broker-dealer firms and financial service professionals—registered representatives, financial planners, registered investment advisors—in securities arbitration and litigation.
- Representing Certified Financial Planners in disciplinary actions brought by the Certified Financial Planners Board of Standards, Inc.
- Representing broker-dealers and registered representatives in FINRA investigations and disciplinary actions.
- Handling high-profile and multi-district cases involving ERISA, Federal and State Securities Laws, RICO, the California Consumer Legal Remedies Act, and the UCC.
- Representing insurance brokerages and their agents in disputes involving the procurement of insurance policies and bad faith litigation.
- Representing real estate brokerages and their brokers and agents in matters involving fraud, due diligence, and dispute over commissions.
- Counseling clients on avoiding customer and employment litigation, including issues such as client selection and retention, and record keeping.

www.dillinghammurphy.com

Dillingham & Murphy, LLP
225 Bush Street, 6th Floor
San Francisco, CA 94104

Phone (415) 397-2700 Fax (415) 397-3300