LexVid Services, Inc., Presents:

Defense of FINRA Investigations and Disciplinary Proceedings

Total: **64 Minutes**

Speakers:
Robert Herskovitz

Description/Table of Contents

The Financial Industry Regulatory Authority (FINRA) is an organization that represents broker-dealers. The rules and regulations promulgated by are thorough and often complex. In this program, NY securities litigator Robert Herskovitz will give attorneys an overview of FINRA and will provide viewers with an understanding on how to navigate a FINRA investigation and disciplinary proceeding.. **Topics include:**

- What is FINRA (10 min.)
- What triggers a FINRA investigation (12 min.)
- What happens during a FINRA investigation (20 min.)
- What happens during a FINRA disciplinary proceeding (12 min.)
- Consequences of an adverse outcome (10 min.)

Total: 64 minutes

Presenters:

Since he began practicing law in 1996, Robert Herskovits has represented securities industry participants in a variety of litigation, arbitration, and enforcement actions, first as associate general counsel to an NYSE broker-dealer firm, and later as an attorney and partner at various law firms.

Rob is a certified arbitrator for FINRA, AAA, and the NFA, and has participated in an estimated 200 arbitration proceedings before FINRA.

At the end of 2011, Robert formed Herskovits PLLC to provide legal representation to broker-dealers, investment advisors, securities industry professionals, and investors in securities litigation, securities arbitration and securities industry regulatory defense for matters appearing before FINRA and other self-regulatory bodies, as well as before the SEC, state securities authorities, and state and federal courts. In addition to dealing with regulatory matters, Robert

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provides representation in employment, contract, and general commercial litigation for these same financial services clients.

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