

The Professionals at Trade Investment Analysis Group Have Experience and Expertise in the Following

Appeared and qualified as experts before:

*NASD, NYSE , AAA and other arbitration forums,
Federal Courts, State Courts and before NASD and NYSE
regulatory or enforcement panels hundreds of times over 18 years.*

*Securities Regulation & Enforcement
Broker / Dealer Regulation (NASD and SEC)
Broker / Dealer Compliance; Supervisory Policies & Procedures
Books & Records
Communications with Customers*

*Investment Advisor Regulation and Enforcement
Investment Advisor Compliance; Supervisory Policies & Procedures
Investment Advisor Books and Records
Investment Advisor Fiduciary Duty*

Sales Practice issues including:

*Suitability
Concentration, Diversification & Asset Allocation
Churning
Misrepresentation & Material Omissions
Excessive Commissions or Mark-ups
Unauthorized trading
Time & price discretion
Inappropriate use of margin
Unauthorized use of margin
Margin liquidation by clearing firm.
Breaches of Fiduciary Duty
Securities Fraud (State and Federal)
Failure To Supervise, Sufficiency of Supervision
Transfer of Accounts (ACATS)
Failure to execute
Hedging issues*

Investment Vehicles:

*Equities
Closed end funds
ADRs
Investment grade and high yield debt
Mortgaged backed securities
Other Fixed Income Products
Mutual Funds, debt, equity & index
Exchange Traded Funds
Insurance Products and Annuities
Options, LEAPS and other derivatives
Low Price Securities ("Penny Stocks")
Private Placements - Reg D
Limited Partnerships
Hedge Funds and Private Equity Investments
Rule 144
Futures & Forwards*

Other Issues:

*Damages/Large Complex Cases
ERISA issues
Retirement Account Issues
Successor liability issues
Control Person liability
Broker / Dealer Employment Disputes
Raiding Issues
Syndicate
Conflicts of Interest
Breaches of Contract
Market Manipulation
Clearing Firm Disputes
Fee Based Accounts/Wrap Fees
Bank Agency and Trust Management*