

In September, 2017, NPW attorney John Bamford obtained a remarkable award on behalf of his financial advisor client in a Seattle-based FINRA (Financial Industry Regulatory Authority) arbitration. The financial advisor had been sued earlier in the year by his former client for over half a million dollars. The claim was that the advisor had recommended unsuitable investments. John's client was also in the unique position of having no broker-dealer or RIA firm backing him up, as the broker-dealer he worked for at the time ceased operations. A loss on any of the plaintiff's claims would mean financial ruin and suspension of the advisor's license. John marshalled the evidence, interviewed witnesses, researched the law and designed a winning and efficient defense. He then represented the client through the three-day arbitration on his own against a duo of experienced and reputable claimant's lawyers. The three-person panel found in favor of John's client on all counts and denied all of the plaintiff's claims. Complete victory. The client was vindicated and the plaintiff walked away with nothing. John's personal commitment to defending his client saved the client's career, livelihood and reputation.