



PRACTICE AREA

Financial Industry

A financial advisor's clients depend on their financial advisor to safeguard and grow their assets, which are often essential to supporting the clients' families and lifestyles. Financial advisors try to help clients achieve their goals with many influences beyond their control, such as volatile markets and changing legislation. When clients do not get the results they wanted or expected from their investments, their response is often emotional and spawns a lawsuit.

Wallace Saunders offers legal advice and representation to broker-dealers, registered investment advisors, and individual financial advisors, including registered representatives, investment advisor representatives, managers and other financial professionals. We have a record for efficiently and aggressively defending investor claims in securities arbitrations before FINRA and the American Arbitration Association involving all manner of sales practice disputes.

Specifically, our professional liability defense team has experience in handling claims involving the following issues:

- Overconcentration
- Diversification
- Misrepresentation and omission
- Suitability
- Failure to follow instructions
- High-pressure sales practices
- Stock manipulation
- Churning
- Negligence/malpractice
- Breach of trust claims

OUR PEOPLE

- Theodore A. Kardis
- John Ross

LOCATIONS

- **Overland Park**

10111 West 87th Street
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P: 913.888.1000 | F: 913.888.1065

- **Springfield**

844 E. Primrose Street
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P: 417.866.2300 | F: 417.866.2444

- **Wichita**

200 West Douglas Suite 400
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P: 316.269.2100 | F: 316.269.2479

- **Topeka**

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CONTACT US

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