



Robert S. Banks, Jr.

Partner

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Robert Banks leads the securities litigation group at SYK. He has been practicing law for over 33 years, and is a nationally recognized leader in investor rights law. His cases have been featured in *The New York Times*, *The Wall Street Journal*, *Investment News*, *The Business Journal*, *The Oregonian*, Registered Representative (now Wealth Management), and a host of other publications. He is also an adjunct professor at Lewis and Clark Law School.

Bob has served a broad array of individuals, organizations and groups who have been victims of negligent advice and fraudulent conduct by brokers, accountants, and other lawyers. He serves on FINRA's National Arbitration and Mediation Committee, representing investor interests, and has chaired its Rules and Procedures subcommittee, which writes the rules governing FINRA arbitration. He is a past president and current member of the Board of Directors of the Public Investors Arbitration Bar Association, and is one of only a handful of board members ever honored with Director Emeritus status.

Areas of Practice

FINRA Arbitration
Securities Litigation
Investment Loss
Recovery
Ponzi Clawback
Litigation
Shareholder Rights
Stockbroker/Financial
Advisor Representation

Honors

- Selected for inclusion in Oregon Super Lawyers 2006 - 2015 - every year that it has existed in Oregon
- Recipient, President's Award, Public Investors Arbitration Bar Association (PIABA) "For Leadership Efforts In Protecting Investors Throughout the Country"
- Recipient, Distinguished Service Award, Federal Bar Association, Oregon Chapter
- Included in Chambers Best Lawyers In America
- Recipient, Highest Rating, Martindale Hubbell Law Directory, 27 consecutive years
- Selected for membership in Multi-Million Dollar Advocates Forum

Past Bar Leadership Positions

- President and board member, Public Investors Arbitration Bar Association, and member of its Executive Committee
- Chair, Committees on NASAA, Membership for Public Investors Arbitration Bar Association
- Chair, Oregon State Bar Securities Regulation Section
- Chair, Oregon State Bar Alternative Dispute Resolution Section
- President, Federal Bar Association, Oregon Chapter
- Chair, FINRA Arbitrator Training Committee Task Force, 2008-2009
- Chair, FINRA Discovery Task Force

Current Bar Committees

- Member, FINRA National Arbitration & Mediation Committee
- Member, American Constitution Society National Federal Judicial Selection Committee

Selected Publications

- PIABA Bar Journal Vol. 21, No. 3 2014, Muzzling the Claimant: Due Process Denied in FINRA Ex-pungment Hearing
- Northwest Securities Institute CLE, Investment Portfolio and Brokerage Statement Danger Signals, July 2013 osbar.inreachce.com
- Practising Law Institute, 1 Securities Arbitration 2006 at 225, The NASD's Explained Awards Rule Filing
- Practising Law Institute, 1 Securities Arbitration 2003 at 253, Clearing Firms and the 2002 Uniform Securities Act: What You Didn't Know Could Have Hurt You
- Practising Law Institute, Securities Arbitration 2001 at 565, Clearing Firms, The Uniform Securities Act, and *Koruga v. Fiserv Correspondent Services, Inc.*
- Practising Law Institute, Securities Arbitration 2000 at 995, Investor Protection-Not! SIPC and The Securities Investor Protection Act of 1970
- Practising Law Institute, Securities Arbitration 2008 A Comment On the Financial Industry Regulatory Authority's Proposed Rules On Motions To Dismiss.

Selected Speaking Engagements

- Oregon State Bar 35th Annual Northwest Securities Institute, "Ethics Issues for Securities Lawyers" (April 2015)
- Oregon State Bar Securities Regulation Section Meeting, "What Every Securities Lawyer Should Know About Arbitration, Forum Selection, and Choice of Law Provisions" (January 2014)
- North American Securities Administrators Association (NASAA), Washington D.C., "Remedies and Recompense: An Examination of Securities Arbitration and Class Action" (October 7, 2013)
- Oregon State Bar seminar, "Detecting Anomalies in Investment Statements," (July 16, 2013)
- 33rd Annual Northwest Securities Institute seminar, "Recent Developments at FINRA," (May 2013)
- Oregon Trial Lawyers Association Business Litigation Section Meeting, Securities Arbitration Cases (February 2011)
- Northwestern School of Law at Lewis & Clark College - Advanced Business Law Seminar, "Brokerage Firm Liability" (January 2011)
- Public Investors Arbitration Bar Association Annual Meeting, Jacksonville, Florida, "Selected Developments in Broker-Dealer Arbitration" (October 2010)
- Northwest Securities Institute Portland, Oregon - "Recent Developments in Securities Arbitration and Broker Dealer Regulation" (February 2009)
- NASAA (North American Securities Administrators Association) Enforcement Conference, "Trends in Broker-Dealer and Investment Advisor Fraud From The Investor Attorney Perspective" (October 2009)

Selected Court Decisions

- *Amerivest v. Maloof*, Oregon Court of Appeals, No. A144457 (Pending) (Representing North American Securities Administrators Association as Amicus Curiae)
- *Boyer v. Salomon Smith Barney, Inc.* 344 Ore. 583 (2008) Representing Public Investors Arbitration Bar Association as Amicus Curiae
- *Houston v. Seward & Kissel, LLP*, 2008 U.S. Dist. LEXIS 23914 (March 27, 2008)
- *Marshall, et al. v. McCown DeLeeuw*, 391 F. Supp. 2d 880 (D. Idaho 2005)
- *Estate of Aguirre v. Koruga (I)* 2002 U.S. App. LEXIS 14632 (9th Cir. 2002)
- *Koruga v. Fiserv Correspondent Services, Inc.*, 183 F. Supp.2d 1245 (D.Or. 2001), 2002 U.S. App. LEXIS 6439 (9th Cir. 2002)

Prior Clients

We have served a broad array of individuals, organizations and groups, including physicians, teachers, gas pipeline workers, attorneys, judges, investment advisors, accountants, NBA basketball players, a former US Congressman, FINRA (opposing broker expungement), North American Securities Administrators Association and Public Investors Arbitration Bar Association (as amici curiae), retirees, a government agency, and many others who have been victims of negligent investment advice and fraudulent conduct.

Educational Background

Reed College, B.A. 1977

University of Wisconsin Law School, J.D. 1982

Bar Memberships

Oregon, Massachusetts, Wisconsin, Washington. Practiced under pro hac vice rules with local counsel in other states including Washington, Idaho, Louisiana, Colorado, California, New York and Florida.

Personal

Born in Newark, N.J., he attended high school in Rochester, N.Y.. Bob has completed 10 marathons (2:46 PR), backpacked throughout the Northwest, and is an avid fly fisherman. He has been married to Valerie Banks for more than 20 years, and has two sons.