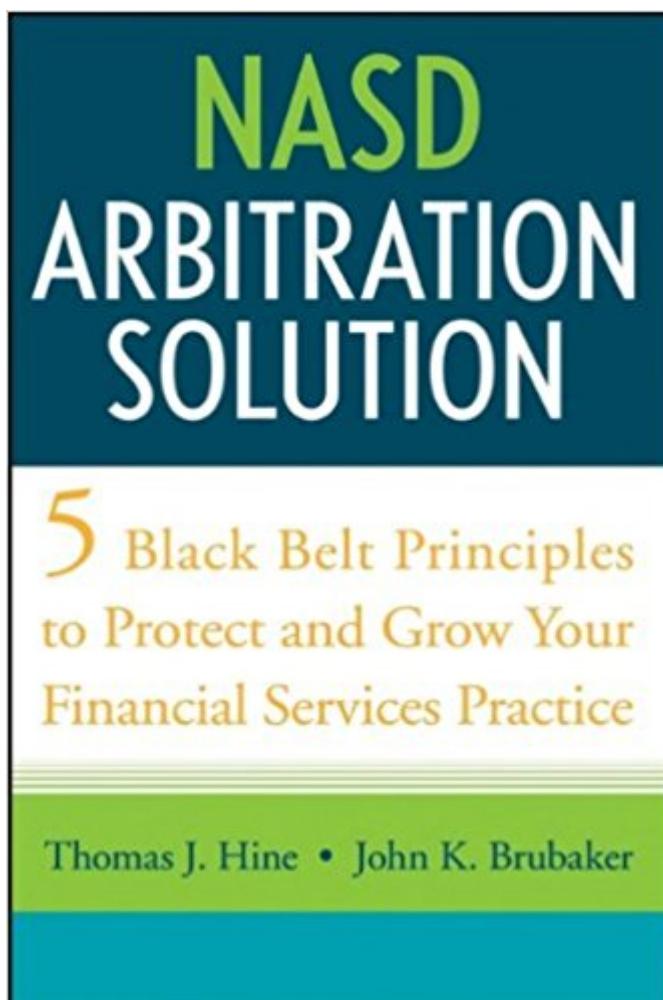


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NASD Arbitration Solution: Five Black Belt Principles To Protect And Grow Your Financial Services Practice



Synopsis

The right brain guide to NASD compliance for Registered Representatives This book tells the thrilling story of Thomas Hine's 22-month NASD arbitration, and how he applied timeless martial arts principles to build and protect his wealth advisory practice. The authors combine courtroom drama, vivid anecdotes, analogies, humor, and practical "how to" advice to create the definitive one-stop resource for Registered Representatives.

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Customer Reviews

The threat of an investor complaint hangs over the head of every Registered Representative every day in the business. Despite the fact that NASD arbitration can become a career-defining, or even career-ending event, many Registered Representatives are unaware of exposures they may have in their current practice and how this system actually works. While concerns surrounding NASD arbitration continue to grow, there is still a lack of solid, clear, and helpful information on this most vital of topics. That's why Thomas Hine, with the help of John Brubaker, decided to write *NASD Arbitration Solution*. While those who've faced NASD arbitration usually avoid discussing their experiences because of the taboo nature of the subject, financial professional and 4th degree black belt Thomas Hine has not. Throughout these pages, he shares the lessons learned from his twenty-one month NASD arbitration ordeal and reveals how he relied on five simple but powerful principles; which were part of his more than twenty years of martial arts training; to build and protect his wealth advisory practice along the way. This definitive resource brings NASD compliance issues to life as never before and shows you how to simultaneously protect and grow a

financial services practice, and, if necessary, deal with a well-intentioned system that has become increasingly hostile and adversarial. Divided into three comprehensive parts—My NASD Arbitration from Start to Finish, Five Black Belt Principles to Protect and Grow Your Financial Services Practice, and How to Prevail in an NASD Arbitration Hearing—this book: Completely details Hine's journey through arbitration, from pre-hearing preparation, testifying under oath, and cross-examination to closing arguments and the arbitration panel's dramatic final decision. Clarifies each of the five "Black Belt" principles used by Hine and demonstrates how you can apply them in the development of a prosperous, ethically sound, client-focused financial services practice. Provides those who are brought into NASD arbitration with expert knowledge, a clear step-by-step plan of action, and easy-to-use tools to effectively defend themselves. Gives an insider's view of NASD arbitration from a top practicing attorney. And much more. Increasingly complex financial products, the implementation of stricter regulations, and the speed of real time business pose serious risks to even the most seasoned of Registered Representatives. To navigate this tough terrain, discover an approach based on the universal principles of humility, integrity, duality, awareness, and dedication—and use it to strengthen your practice and, if necessary, overcome the challenges that are an inevitable part of the arduous NASD arbitration process.

Thomas Hine had been working as a Registered Representative for more than a decade when, without warning, he became the subject of an investor complaint to the NASD—and was forced to go through NASD arbitration to resolve the dispute. While many in his position would shy away from discussing this experience, Hine, with the help of John Brubaker, decided to share his story and provide you with invaluable instructional and motivational information regarding the costly and time-consuming NASD arbitration process; how you can grow your financial services practice; minimize the chances of an investor complaint; and properly respond to one, if necessary. NASD Arbitration Solution presents an entirely new approach to the subject of compliance. It combines courtroom drama, vivid anecdotes, analogies, humor, philosophy, and practical "how to" advice to create the definitive one-stop resource for Registered Representatives on one of the most talked about subjects in the financial services industry. A page-turning work on a subject often regarded by representatives as tedious, it may become the only book on NASD compliance you will ever want to read from cover to cover.

NASD Arbitration Solution: Five Black Belt Principles to Protect and Grow Your Financial Services Practice. This book was very informative. It was very well written and I would recommend it to any

financial services employee.

John Brubaker is an insightful, thoughtful author. If you are a FP, this is a MUST HAVE!

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