

Robert S. Banks Jr.

Representing Investors Since 1985

Bob@bankslawoffice.com



Robert Banks has been practicing law for 35 years, and is a nationally recognized leader in investor rights law. His cases have changed the legal landscape for investors and 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 a frequent speaker to lawyers and financial services industry professionals on investment loss recovery issues and professional malpractice. Mr. Banks is also an adjunct professor at Lewis and Clark Law School in Portland, Oregon.

Honors

- Investor Champion Award, North American Securities Administrators Association (NASAA), 2017
- Distinguished Service Award, Public Investor Arbitration Bar Association (PIABA), 2016
- Distinguished Service Award, Federal Bar Association, Oregon Chapter
- Director Emeritus, PIABA
- President's Award, " For Leadership Efforts In Protecting Investors Throughout the Country", PIABA
- Oregon Super Lawyers, 2006 – 2017, every year that it has existed in Oregon
- Chambers Best Lawyers In America
- Martindale Hubbell Law Directory, Highest Rating
- Multi-Million Dollar Advocates Forum

Past Bar Leadership Positions

- Past President and 10 year board member, Public Investors Arbitration Bar Association
- Past Chair, Oregon State Bar Securities Regulation Section
- Past Chair, Oregon State Bar Alternative Dispute Resolution Section
- Past President, Federal Bar Association, Oregon Chapter
- Past Chair, FINRA Arbitrator Training Committee Task Force, 2008-2009

Current Bar Committees

- Member, FINRA National Arbitration and Mediation Committee (NAMC)
- Chair, Rules and Procedures Subcommittee for FINRA's NAMC
- Member, National Federal Judicial Selection Committee, American Constitution Society

Selected Publications

- PIABA Bar Journal Vol. 21, No. 3 2014, Muzzling the Claimant: Due Process Denied in FINRA Expungement Hearing

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- Northwest Securities Institute CLE, Investment Portfolio and Brokerage Statement Danger Signals, July 2013 osbar.inreachce.com

Selected Publications (continued)

- Practicing Law Institute, 1 Securities Arbitration 2006 at 225, The NASD's Explained Awards Rule Filing
- Practicing 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
- Practicing Law Institute, Securities Arbitration 2001 at 565, Clearing Firms, The Uniform Securities Act, and *Koruga v. Fiserv Correspondent Services, Inc.*
- Practicing Law Institute, Securities Arbitration 2000 at 995, Investor Protection-Not! SIPC and The Securities Investor Protection Act of 1970
- Practicing Law Institute, Securities Arbitration 2008 A Comment On the Financial Industry Regulatory Authority's Proposed Rules On Motions To Dismiss.

Selected Speaking Engagements

- Becoming a FINRA Arbitrator, with FINRA Executive Vice President and Director of Dispute Resolution, Richard Berry (April 2017)
- 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)

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- 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

- Brown. V. Price, WL 3207235 2017 (D.Or. 2017) Representing Aequitas Investors
- 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

Bob has 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, 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, California, Louisiana, Colorado, New York and Florida. FINRA arbitration is nationwide

Personal

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Bob was NY. He moved to Portland to attend Reed College and has considered himself to be an Oregonian for 40 years. He has completed 10 marathons, (2:46 PR), backpacked throughout the NW, and is an avid fly fisherman. He is married to Valerie Banks (22 years) and has two sons.