



Matthew B. Baum

Partner

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Matt represents financial industry participants, including broker-dealers, financial advisers and RIA firms as well as businesses and individuals in litigation and arbitrations.

Matt has represented multiple *Fortune* 500 financial institutions, in addition to many small and middle market firms. He has also served as counsel to more than 150 financial advisers throughout his career. Matt appears on behalf of clients in arbitrations (including FINRA and AAA) and in state and federal courts. Among other things, Matt has represented clients in 100+ FINRA arbitrations, including both industry and customer disputes.

He also frequently advises broker-dealers, RIA firms and financial advisers in connection with transitions and recruiting matters. Matt serves as a go-to resource for multiple broker-dealers for transition and recruiting-related matters. He also is consulted as an outside general counsel for multiple RIA firms.

Matt represents clients in FINRA and SEC enforcement proceedings and investigations.

Outside of financial services, Matt litigates commercial disputes and has conducted internal investigations on behalf of publicly traded companies.

An experienced trial attorney, he litigates a wide variety of business, customer and industry disputes, including those involving:

- Contracts
- Employment disputes
- Non-competition and non-solicitation restrictions
- Trade secrets
- Securities licensing
- Fiduciary duties
- Supervision
- Suitability
- Fraud
- Defamation
- Expungement
- Wrongful termination
- Raiding
- Partnership/stockholder disputes

- Negligence
- RICO

Services

- Litigation
- Securities Industry
- Financial Services Litigation

Representative Matters*

- Compelled arbitration and caused a *Fortune* 100 company to withdraw a preliminary injunction application in federal court.
- Obtained denial of claims and expungement on behalf of two financial advisers relating to transfer of elderly customers' securities holdings to one of three sons.
- Obtained denial of fraud-based claims against a FINRA-Associated Person in connection with a sunset agreement.
- Obtained denial of all claims of 32 investors on a motion to dismiss prior to presenting defense case-in-chief.
- Obtained an award over \$1 million, plus attorneys' fees and costs, to be paid by public company on a breach of contract claim.
- Obtained denial of all claims, including RICO, and award of more than \$100,000 in attorneys' fees on behalf of FINRA member firm following 76 hearing session arbitration.
- Obtained award of \$75,000 and all forum fees assessed against a respondent on behalf of former brokers.
- Obtained denial of \$8 million claim on behalf of independent brokerage firm branch and brokers.

* Results may vary depending on your particular facts and legal circumstances.

Before Fox Rothschild

Prior to joining Fox Rothschild, Matt was a partner of a Manhattan based mid-sized law firm. Before that, he practiced at a securities law boutique located on Wall Street.

Matt was a John Harlan Marshall Scholar at New York Law School. There, he also served as Coordinating Notes Editor of the *New York Law School Law Review*.

Bar Admissions

- New York
- New Jersey

Court Admissions

- U.S. District Court, Southern District of New York
- U.S. District Court, Eastern District of New York
- U.S. District Court, District of New Jersey

Education

- New York Law School (J.D., *cum laude*, 2009)
- University of Michigan (B.A., 2006)

Honors & Awards

- **Selected to the "Super Lawyers" list for Rising Stars (2017-2023)**

This award is conferred by Thomson Reuters. A description of the selection methodology is [available here](#). No aspect of this advertisement has been approved by the Supreme Court of New Jersey.

Publications

May 25, 2025

Dangers of M&A: Money Doesn't Buy Happiness

AdvisorHub

March 25, 2025

Dangers of M&A: Money Doesn't Buy Happiness

AdvisorHub

February 6, 2025

AdvisorEsq Podcast Series