

# Snell & Wilmer

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## Cory L. Braddock

Partner | Phoenix

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### Main Bio

Cory Braddock is based in Snell & Wilmer's Phoenix office where he is a member of the firm's commercial litigation and securities litigation and investigations practice groups. His practice focuses on complex commercial litigation with a particular emphasis on securities and financial services institution litigation in both federal and state courts, FINRA arbitration proceedings, general commercial litigation matters, and tax controversy litigation.

Cory's securities practice draws from his substantial experience in the brokerage industry where he was a producing broker (financial representative) with Fidelity Investments (Series 7, 65, life agent) and a branch manager with Scottrade (Series 24). While in the brokerage industry, he obtained, and still maintains, his Certified Financial Planner designation. Cory has defended a number of financial institutions, including retail banks, credit unions, insurance companies, broker-dealers, investment advisers, financial planners, brokers, insurance agents, and unlicensed persons against claims involving alleged breach of fiduciary duty, negligence, unauthorized trading, churning, suitability, selling away, failure to supervise, claims under the Securities Act of 1934 (Rule 10b-5 claims), the Investment Advisers Act of 1940, and under Arizona's State securities fraud statutes.

Cory's general commercial litigation practice includes the representation of national banks, state credit unions, third-party ACH processors, real estate developers, title companies, and individuals in federal and state court and in arbitration proceedings. Cory has served as both lead counsel and as a supporting member of a litigation team. Specifically, he prosecuted, including conducting direct examination, cross examination and delivering closing arguments, in a Section 1983 claim. He has also prepared briefing for, and argued in, the Ninth Circuit Court of Appeals.

Cory's tax controversy practice focuses on representing non-profit organizations, universities, and businesses in state and local tax matters including litigation relating to the property tax exemptions, property tax valuation, and compliance with Arizona's unclaimed property statutes.

### Education

- Brigham Young University (J.D., cum laude)
  - Moot Court
  - Research Assistant for Professor Stanley D. Neeleman
- Brigham Young University (B.A., Business Management)

### Languages

- Spanish

## Professional Memberships & Activities

- CERTIFIED FINANCIAL PLANNER™ certificant. Certified Financial Planner Board of Standards owns the certification marks CFP®, CERTIFIED FINANCIAL PLANNER™ and CFP® in the U.S., which it awards to individuals who successfully complete CFP Board's initial and ongoing certification requirements.
- Securities Industry & Financial Markets Association (SIFMA)
  - Compliance & Legal Division
- Snell & Wilmer, Junior Associate Mentor (2010-present)
- Snell & Wilmer, Litigation Training Committee, Member (2009-present)

## Representative Presentations & Publications

- "Customer Disputes – The Road Less Traveled By," Trial.com, Finra CLE SuperCourse (September 2012)
- ["Surprise! SEC Approves New Rule Amendments Designed to Protect Client Assets Held by Investment Advisers – Effective March 12, 2010,"](#) Co-Author, Snell & Wilmer Financial Services Litigation Bulletin (February 2010)
- "Pennywise, Pound Foolish: Why Investors Would be Foolish to Pay a Penny or a Pound for the Protections Provided by Sarbanes-Oxley," BYU Law Review, Volume 1, 2006

## Professional Recognition & Awards

- The Best Lawyers in America®, Financial Services Regulation Law (2023-2024)
- Southwest Super Lawyers®, Business Litigation (2017-2019, 2022, 2024)
  - Rising Stars Edition (2014-2016)
- Pro Bono Attorney of the Year, Snell & Wilmer (2008)

## Community Involvement

- One N Ten, Board of Directors
- Chandler Chamber of Commerce
  - General Counsel (Pro Bono) (2010-present)
- Boy Scouts of America
  - Eagle Scout
  - Scout Committee Chair
  - Merit Badge Counselor (Personal Management, Fishing, Fly Fishing, Law, Public Speaking, Salesmanship, American Business)

## Previous Professional Experience

- Scottrade, Inc., Branch Manager
- Fidelity Investments, Financial Representative

## Bar Admissions

- Arizona
- Idaho

## **Court Admissions**

- Supreme Court of Arizona
- Supreme Court of Idaho
- United States Court of Appeals, Ninth Circuit
- United States District Court, District of Arizona
- United States District Court, District of Idaho