

SECURITIES EXPERTS ROUNDTABLE

ANNUAL MEETING AND CONFERENCE



July 27 & 28, 2018 | University Club of Washington D.C.

EVENT GUIDE

2017 - 2018 Directors

Ross Tulman
President
Term Expires in 2019

Gordon Yale
President Elect
Term Expires in 2020

Elizabeth Falk
Treasurer
Term Expires in 2018

Richard P Ryder
Secretary
Term Expires in 2019

Alan J Besnoff
Director
Term Expires in 2020

Paul Carroll
Director
Term Expires in 2020

Jerry DeNigris
Director
Term Expires in 2020

David James Keogh
Director
Term Expires in 2019

Bob Lawson
Director
Term Expires in 2018

Craig Murray
Director
Term Expires in 2018

Jeffery E Schaff
Director
Term Expires in 2019

Carrie Wisniewski
Director
Term Expires in 2020

Past Presidents

2016-2017 Jeffery Schaff
2015-2016 Bruce Foerster
2014-2015 Richard Leisner
2013-2014 Stuart Ober
2012-2013 Jeffery Schaff
2011-2012 GG Genco

2010-2011 Gordon Yale
2009-2010 Patricia Koetting
2008-2009 Stan Meyerson
2007-2008 Richard Sandow
2006-2007 Ross Tulman
2005-2006 Mary Calhoun

Original Directors / Incorporators

Howard Berg*

Marvin G Breen*

Mary E Calhoun*

Elwood A Crandall

Edward B Horwitz*

Sidney D Krasner

Benjamin Lubin*

Alfred E Monahan*

Richard P Ryder

Richard Sandow

Ross P Tulman

Michael D Weiner

*SER Director Emeritus



SECURITIES EXPERTS ROUNDTABLE

The Securities Experts Roundtable (SER) is a national professional association of experts with significant experience as testifying and consulting experts in securities, business and investment-related litigation. SER takes an interest in the improvement of securities dispute resolution and is claimant/respondent neutral. Collectively, our experts have testified in thousands of NASD and FINRA arbitrations, as well as in most all arbitration forums, state courts, and federal court.

Originally established in 1992, and incorporated in 2005 as a non-profit professional organization, SER has 80+ members spanning the United States. SER's mission statement is to provide continuing professional education and promote ethics and integrity among its members while remaining dispute neutral as an organization. Currently in its 26th year, an Annual Conference, a dedicated web site and ongoing member networking are the primary tools SER employs to maintain its premier position in the expert witness field.

SER members provide services individually and not under SER's umbrella. Their services include expert testimonial work in federal and state courts, arbitration and mediation forums (e.g., AAA, FINRA and JAMS) and SEC proceedings; production of formal expert reports and non-testimonial expert consulting. The Board of Directors adopted and encourages its members to adhere to SER Best Practices of ethics and integrity, and its motto - "Seek and Speak the Truth" - is the behavioral touchstone. The organization has a demonstrated history of leadership in dispute resolution. In 2004 a founding member co-authored work on non-sequestration of experts at hearings which led to revision of the opening script. In 2012 SER identified instances of electronic eavesdropping in hearings which led to revision of the opening script. In 2014 SER alerted FINRA to the issue of "phantom retention of experts" which led FINRA to condemn this practice.



Securities Experts Roundtable

26th Annual Membership Meeting & Conference

Agenda

Friday, July 27, 2018

8:00am - Noon	Board of Directors Meeting	Board members only
12:00 – 1:00pm	Registration and Buffet Lunch	Members and registered guests
1:00 – 1:30	Annual Membership Meeting <ul style="list-style-type: none">• Election of President-Elect and Directors• Officers' reports	Ross Tulman <i>President</i>
1:30 – 2:45	FINRA Initiatives Update <p>This lead-off session has been a staple at SER Conferences for many years. We are privileged to have as our guest speaker, Rick Berry, FINRA's Executive Vice President and Director of Dispute Resolution, to update attendees on rulemaking, transparency efforts, and other ongoing initiatives at the FINRA-ODR facility. This year, George Friedman, a SER member, Fordham University adjunct law professor and frequent commentator on FINRA and other issues, will join the panel.</p>	Richard W. Berry, Esq. <i>Executive Vice President & Director of Dispute Resolution at FINRA</i> George Friedman, Esq. <i>member and former Executive VP - Dispute Resolution of the Financial Industry Regulatory Authority.</i>
2:45 – 3:00	Break	
3:00 - 4:00	Ponzi Schemes, Broker-Dealers and Registered Investment Advisor <p>A brief history and statistics on Ponzi schemes. FINRA Rules and Standards for Broker-Dealers Selling Private Placements. Review of case studies on Bernard Madoff and on Medical Capital. Discussion of Suspicious Activity Reports.</p>	Jordan Maglich, Esq <i>Senior Associate with Wiand Guerra King, Co-chair of Receivership Practice</i> Stuart Ober <i>member</i>
4:00 - 4:15	Break	



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4:15 - 5:15

The Evolution of Money Laundering

Many of us have dealt with compliance issues involving AML, but Paul Pellitier and Robertson Park, both long-time veterans of the Criminal Justice Division of the Department of Justice, will discuss the creation of anti-money laundering laws and how their application has evolved from predominantly drug-related matters to terrorism and other financial crimes.

Paul Pelletier, Esq. *former Justice Department prosecutor for 27 years*

Robertson Park, Esq. *partner with Murphy & McGonigle.*

5:30 – 6:30

Cocktail Reception

Dress code: dress or pants suit for ladies/ coat and tie for men.

An opportunity to network, form new friendships, and renew/burnish existing ones.

Members and registered guests

6:30 – 9:30

Annual Dinner: The University Club of Washington D.C.

Fine dining followed by a discussion and questions with Keynote speaker Paul Pelletier, one of the primary protagonists in ***The Chickenshit Club: Why the Justice Department Fails to Prosecute Executives***. Mr Pelletier will discuss "Why Don't They Throw Financial Executives In Jail."

Members and registered guests, invited attorneys

Keynote Speaker:

Paul Pelletier, Esq. *former Justice Department prosecutor for 27 years and*



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Saturday, July 28, 2018

8:00 – 9:00am	Buffet Breakfast	Members and registered guests
9:00 – 10:00	Damages Part 1: Practical applications including market adjusted remedies, comparative risk analysis, loss causation, appropriate benchmarks, Uniform Securities Act claims, and damages in employment disputes. Part II: Let's talk damages! Interactive session with members – bring your questions and suggestions!	Ross Tulman , <i>chair</i> Peter Bulgar , <i>panelist</i> Stan Meyerson , <i>panelist</i>
10:00 – 10:15	Break	
10:15 – 11:15	What Makes a Good Expert Recognized by Best Lawyers as the 2017 Securities Regulation Lawyer of the Year for New York City, Mr. Crimmins will highlight the attributes of a successful expert witness. From the SEC, Mr. Kisslinger will provide prospective from the government side.	Steve Crimmins, Esq. <i>Murphy and McGonigle</i> Paul Kisslinger, Esq. <i>Assistant Chief Litigation Counsel for the Enforcement Division of the SEC</i>
11:15 – 12:00pm	Duties of Fiduciaries I A nationally recognized fiduciary expert and former assistant general Counsel for the U.S. Securities and Exchange Commission, Professor Laby will provide two sessions on the duties of a fiduciary to put his clients' interests before his own as well as due care with respect investment recommendations.	Professor Arthur Laby, Esq. <i>Co-Director of the Rutgers Center for Corporate Law and Governance</i>
12:00 – 1:00	Buffet Lunch	Members and Registered Guests
1:00 – 2:15	Duties of Fiduciaries II Continuation	Professor Arthur Laby, Esq. <i>Co-Director of the Rutgers Center for Corporate Law and Governance</i>
2:15 – 2:30	Break	

Programs and times are subject to change.



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2:30 – 4:00

Best Practices

Open forum discussion with members regarding engagement letters and written procedures; qualifications; and effective practice management techniques.

Jerry DeNigris, chair
Alan Besnoff, panelist
Bob Lawson, panelist

4:00 - 5:00

Experts Roundtable

Informal but candid "give and take" session. Members can relate case "war stories" to identify issues that are likely to surface during interaction with a client's attorney and/or client and during expert deposition, hearing/trial testimony and report writing.

Gordon Yale

5:00

Adjourn and freshen up

6:00 – 8:30

Post-Conference add-on Dinner, *Ristorante i Ricchi*

1220 19th St. NW

Wrap up your conference experience with a dinner out on the town at a local favorite that has earned "accolades and awards such as the Hottest Restaurant in Washington and One of the Best Italian Restaurants in the World."

Members and registered guests



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Biographies



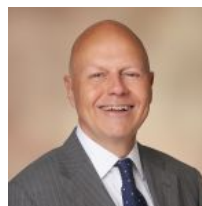
Richard W. Berry, Esq. is Executive Vice President and Director of FINRA's Office of Dispute Resolution. Prior to serving in this capacity, Mr. Berry was Senior Vice President, Dispute Resolution. In that role, he oversaw the four regional offices -- New York, Boca Raton, Chicago and Los Angeles -- and the New York Case Administration unit. Mr. Berry joined FINRA, then NASD, in 1995 as head of Dispute Resolution's Los Angeles office. In 2001, he was named Director of Case Administration in the New York City office. Prior to joining FINRA, he taught American law for one year in Budapest. Mr. Berry began his career practicing law in San Francisco. He is a graduate of the University of California at Santa Barbara and Hastings College of the Law. Mr. Berry is a member of the California Bar.



Alan J. Besnoff is the founder of Securities Expert Witness & Litigation Support, LLC and serves as an expert witness and litigation consultant throughout the United States. Mr. Besnoff provides expertise in matters which involve disputes concerning suitability and sales practices of securities, insurance & annuities, and employment issues within the financial services industry. Mr. Besnoff has served as a General Securities Principal with over 25 years of supervisory experience. He holds the designations of: Certified Financial Planner (CFP), Chartered Financial Consultant (ChFC), Chartered Life Underwriter (CLU), as well as several FINRA registrations and insurance licenses.



Peter E. Bugler has over forty years of experience in executive and managerial positions spanning regulatory; broker-dealers; investment advisers and consulting. His areas of expertise include broker/dealer and registered investment advisory compliance; equity research and trading; fixed income sales and trading; public and investment banking; prime brokerage and correspondents clearing. As an investigator with NASD, Mr. Bugler was involved in more than 70 sales practice and financial and operational examinations. Additionally, as a group head, he conducted hundreds of reviews of customer complaints and regulatory for cause filings. During his career with both investment advisory and investment banking entities, he led teams in gathering and explaining workings and industry customs to defense attorneys and acted as a fact or expert witness in over 50 hearings. He is a graduate of University of Albany and Fordham University.



Steve Crimmins defends clients in enforcement matters involving the Securities and Exchange Commission and other financial services regulators. He provides strategic advice and representation before and during investigations. Where matters must be contested, he advocates for clients in litigated administrative proceedings and in federal court trials and appeals. He also handles internal investigations, litigates private securities cases and other commercial disputes, and teams with other law firms as securities co-counsel in civil, criminal and administrative cases. He is presently active in cryptocurrency and cybersecurity matters. Best Lawyers in America recognized Steve as the "2017 Securities Regulation Lawyer of the Year for New York City," based on its survey of his New York-based peers, and for a decade has recognized him for both securities litigation and securities regulation. Chambers USA has repeatedly recognized him for securities regulation-enforcement. Securities Docket twice gave him its "Enforcement 40" Award, recognizing him as one of "the 40 best and brightest securities enforcement defense attorneys in the industry." Steve was Chair of the Federal Bar Association's Securities Law Section for five years, and has also held leadership positions with the District of Columbia Bar. He testified twice before the U.S. House of Representatives on SEC issues during the financial crisis, regularly speaks on securities law panels, and is quoted in the national business news media. He is a graduate of Fordham University and the Columbia Law School.

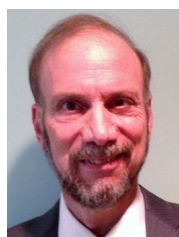


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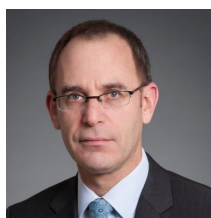
Jerry DeNigris has over 25 years of experience in the securities industry. He provides security/trading analysis, suitability reviews, compliance-style active account reviews and expert testimony for clients. He also consults with clients regarding their ongoing compliance and litigation support requirements. Jerry gained his compliance experience as a Compliance Officer in the Capital Markets Compliance group at UBS/PaineWebber. In this position he created and oversaw the implementation of surveillance and suitability procedures for large retail and institutional accounts and was involved in mark-up analysis and retail fixed income suitability approvals. In addition, Jerry ensured compliance with SRO regulations by maintaining constant contact with the capital markets trading desks and drafting policies and procedures in response to new SRO requirements. Before serving as Compliance Officer, Jerry DeNigris was a trading analyst in the legal department. In this capacity, he prepared detailed analysis of trading activity and testified as an expert witness at NASD, NYSE and AAA arbitration hearings and mediations.



George H. Friedman, Esq. Chairman of the Board of Directors of Arbitration Resolution Services, Inc. and an ADR consultant, retired in 2013 as FINRA's Executive Vice President and Director of Arbitration, a position he held from 1998. In his extensive career, he previously held a variety of positions of responsibility at the American Arbitration Association, most recently as Senior Vice President from 1994 to 1998. He is an Adjunct Professor of Law at Fordham Law School. Mr. Friedman serves on the Board of Editors and is a Contributing Legal Editor of the Securities Arbitration Commentator. He is also a member of the AAA's national roster of arbitrators, several bar associations, and the Securities Experts Roundtable. He holds a B.A. from Queens College, a J.D. from Rutgers Law School, and is a Certified Regulatory and Compliance Professional. He is admitted to practice in New York, New Jersey, several U.S. District Courts, and the United States Supreme Court.



Paul Kisslinger is Assistant Chief Litigation Counsel for the Enforcement Division of the SEC. As trial counsel for the SEC, Paul runs and tries complex cases in U.S. District Courts and Administrative Proceedings in a nationwide practice, covering areas including accounting and reporting violations, corporate governance, insider trading, offering frauds, Ponzi schemes, and FCPA violations. He also assists Enforcement Division staff in on-going investigations, and regularly partners with domestic and international law enforcement and regulatory authorities. Mr. Kisslinger also runs the Enforcement Division Filter Team – supervising 18 attorneys in all 12 SEC offices across the country. Prior to joining the SEC, Mr. Kisslinger was a partner and associate at two national law firms, following a clerkship for a federal district judge. He attended the University of Pittsburgh School of Law and the University of Pennsylvania for his undergraduate degree in Biology. Mr. Kisslinger also is an adjunct professor at the George Washington School of Law, instructing second year law students in the areas of governmental practice, ethics, and financial regulatory enforcement.



Arthur Laby Arthur Laby is Co-Director of the Rutgers Center for Corporate Law and Governance, a recognized expert in securities law, the regulation of investment management, and the fiduciary relationship. His research focuses on investment management regulation, the duties of market participants, and the fiduciary obligation. Previously he served as Assistant General Counsel for the U.S. Securities and Exchange Commission and worked in private practice. Before joining the faculty, Professor Laby served for nearly ten years on the staff of the U.S. Securities and Exchange Commission, most recently as Assistant General Counsel. Before working on the SEC staff, Professor Laby was awarded a Fulbright scholarship and was a visiting lecturer in Germany. Earlier, he was an associate



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at the law firm of Wilmer, Cutler & Pickering, practicing in the areas of securities regulation and commercial law. Professor Laby is a magna cum laude graduate of Boston University School of Law, where he was an editor on the Law Review, and a magna cum laude graduate of the University of Pittsburgh, where he was elected to Phi Beta Kappa. After graduating from law school, Professor Laby clerked for the Honorable J. Frederick Motz, United States District Court for the District of Maryland.



Bob Lawson is the President of Barrington Financial Consulting Group, Inc., a securities and insurance litigation consulting firm based in Minneapolis. In 1988, he founded Barrington Capital Management, Inc., a Registered Investment Advisory firm and Insurance Agency, where he continues to serve as the President and Chief Compliance Officer. Bob is an Accredited Investment Fiduciary, Certified Fraud Examiner, and serves as a FINRA Mediator and Arbitrator. His breadth of securities experience includes managing and supervising broker-dealer branch offices as a Securities and Options Principal and Investment Adviser Representatives. He is currently the MN State Bar Association ADR Membership Chair and is Board Member for Little Brothers – Friends of the Elderly – a 501(c)3 organization.



Jordan Maglich, Esq. is a senior associate with Wiand Guerra King, where he serves as the co-chair of the Firm's Receivership Practice and regularly serves as counsel to state and federal receivers appointed in connection with regulatory enforcement actions. This has included representation of the court-appointed receiver in an SEC enforcement action arising from a \$350 million Ponzi scheme, a State of Florida Office of Financial Regulation enforcement action arising from a \$15 million Ponzi scheme, and multiple matters brought by other regulatory agencies including the Federal Trade Commission. The efforts of Mr. Maglich and other WGK lawyers have resulted in the recovery of tens of millions of dollars for the benefit of defrauded victims. Jordan handles a wide variety of matters in the commercial litigation, regulatory, securities and financial services fields. In addition to representing securities broker/dealers, investment advisors, and their associated persons in court and in arbitration, Jordan regularly practices in state and federal courts in matters involving a wide array of business and commercial disputes. Jordan's practice also includes the counseling and defense of persons and/or entities facing civil and criminal investigations by state and federal agencies including the Securities and Exchange Commission, the Commodity Futures Trading Commission, the Florida Office of Financial Regulation, and the Financial Industry Regulatory Authority (FINRA). This has recently included responding to state and federal investigative subpoenas, defense of SEC investigations and administrative proceedings, defense of enforcement actions filed by the SEC and CFTC, and handling criminal inquiries by the FBI, IRS, and DOJ.



Stanley Meyerson is a partner at Trade Investment Analysis Group. He offers consulting and analytical work and provides expert witness testimony in investment industry related disputes, especially employment related disputes. He has been providing expert witness and related services since 1989 and has appeared before almost 200 arbitration panels and court proceedings around the country. Mr. Meyerson has been engaged by law firms, BDs, insurance companies, banks, investors, and regulators. Prior to his affiliation with TIA Group, he was corporate counsel to two members firms and headed the Compliance and Litigation Regulatory Analysis Group at Smith Barney which was the firm's in-house expert witness team. Stan has served as the NASD and FINRA industry arbitrator since 1986. He was also a securities industry executive who earned eleven licenses during his career. He received his B.S. in Finance from St. John's University in New York, did graduate work at the St. John's University and Pace University Graduate schools of business and earned his Juris Doctor at the University of the State of New York, Touro College School of Law.



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Stuart Ober, is the president of Securities Investigations, Inc., a New York area based due diligence, investment consulting, and expert witness firm. A former manager of a number of Wall Street tax-investment departments, Mr. Ober has served as an investment professional for over 40 years, and an expert (for plaintiffs and defendants) since 1980. Areas of expertise include due diligence, fraud, Ponzi schemes, private placements, real estate, oil and gas, selling away, fiduciary issues, suitability, and fraud. Mr. Ober has served as an expert witness in 50 Ponzi scheme matters, including serving as an expert witness in the Bernard Madoff matter. Mr. Ober served as a member of the Financial Products Standards Board of the Institute of Certified Financial Planners, and as a consultant to the U.S. Department of the Treasury – Internal Revenue Service, and the State of New Jersey. He is the External Commentator of "Prudent Practices for Investment Advisors" and "Prudent Practices for Investment Stewards," and is a FINRA arbitrator (Chairperson) and a Certified Mediator. Mr. Ober was President of a Registered Investment Advisory firm and President of a Publicly-Traded Company.



Robertson Park is a Partner in Murphy & McGonigle, a Washington, D.C. based law firm. Prior to joining the firm, he served twenty years in the Fraud Section of the Criminal Division of the Department of Justice. Rob's practice emphasizes white-collar criminal matters, enforcement investigations, internal corporate investigations, and compliance counseling. He has specific expertise in foreign bribery (FCPA and UKBA), financial services fraud, securities fraud, and commodities fraud. Rob is the founding member of the firm's White Collar Defense, Investigations, and Compliance Counseling Group. During his tenure in the Criminal Division's Fraud Section, Rob directed and coordinated some of the Department's most important investigations and initiatives. Between 1996 and 1999, Rob was a lead prosecutor of the Montana Freeman, resulting in his receipt of the Attorney General's Award for Exceptional Service. Rob also was a principal of the trial team in the matter of United States v. Frederic Bourke, Jr., a seminal prosecution of an individual investor under the Foreign Corrupt Practices Act. Rob was the Criminal Division liaison to the CFTC and had associated coordination responsibilities with the Federal Energy Regulatory Commission (FERC). One of the signature results of his work with the CFTC was the Fraud Section's lead role in the LIBOR investigation, in partnership with the Department's Antitrust Division, the CFTC and other international enforcement authorities. Rob received his B.A. from Davidson College and his law degree from Antioch School of Law.



Paul Pelletier Long before AIG Financial Products became the guarantor of billions of dollars high-risk and often fraudulent mortgage-backed securities—the root of a near-death experience for its parent, Paul Pelletier was the lead federal prosecutor in financial fraud involving PNC Bank which concealed \$155 million of its losses by off-loading assets to a special purpose entity that AIG Financial Products ostensibly backed. The arrangement, created by AIG, helped PNC illegally game its financial statements. Pelletier sought to pursue criminal charges against executives of both PNC and AIG, but both the Federal Reserve and the Comptroller of the Currency opposed the prosecution arguing that punitive action was dangerous for both the bank and the banking system. It was the beginning of the “too big to fail” era that has crippled or prevented prosecutions of banking and other executives for criminal fraud in both the Bush and Obama administrations and that is likely to metastasize under President Trump. As one of the primary protagonists in *The Chickenshit Club: Why the Justice Department Fails to Prosecute Executives*, Mr. Pelletier will share his insight into the failure of federal government to prosecute white collar criminals and what that means for the country. Not one to mince words nor colorful language, Mr. Pelletier was described by an admirer as a man who “came out of the womb divisive.” His 27-year career in the U.S.



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Department of Justice included leading prosecutions of Colombian drug lords, multi-million dollar health care fraud cases, the creation of specialized health care strike teams as well as leadership positions in DOJ efforts to combat complex financial crimes including the \$7 billion Stanford Financial Group Ponzi scheme and a second pass at AIG after the 2008 meltdown. Prior to entering into private practice with the firm of Pepper Hamilton LLP, Mr. Pelletier was honored with the DOJ's highest honor for his work.



Ross Tulman is the Senior Partner of Trade Investment Analysis Group in Columbus, Ohio, providing expert witness services to counsel engaged in securities arbitration and litigation. Mr. Tulman has been an active participant in the dispute resolution process for twenty-five years. He began his career as an expert witness after the 1987 stock market crash. He has been retained to consult and testify regarding the full spectrum of issues frequently contested in the financial services industry including profit and loss analysis, damages, churning, suitability, standards and practices, misrepresentations/omissions, supervision and compliance. He has provided testimony in both state and Federal court, and in arbitrations before FINRA, other SRO fora, AAA, and JAMS. He is one of the few experts who is routinely consulted and retained on behalf of both claimants and respondents. He has appeared in numerous high profile interesting and complex matters. Mr. Tulman is an accomplished speaker and author. He serves as an arbitrator for FINRA and the NFA, and occasionally has been retained as a mediator. He is an active member and past officer of the Securities Experts Roundtable. Mr. Tulman earned a BA in English from Emory University and an MBA in Tax and Finance from Xavier University. He is an SEC registered investment adviser.



Gordon Yale is the principal of Yale Forensics, a Denver-based forensic accounting and financial consulting firm specializing in securities fraud and professional negligence as well as president of Yale Group, Inc., a boutique investment bank. Mr. Yale, a former securities analyst, has served as a special investigative consultant to the Securities and Exchange Commission, the states of Colorado, Florida and Hawaii, and as an expert for both plaintiffs and defendants in many civil matters on behalf of institutional and other clients. Most recently, Mr. Yale has been engaged by claimants' counsel in scores of Medical Capital, Provident Royalties, DBSI and other alternative investment claims involving adequacy of due diligence and adequacy of disclosure. Mr. Yale has also been engaged by SEC-appointed receivers, has advised creditors' committees in a variety of settings and has conducted internal investigations on behalf of publicly-held companies. Mr. Yale has provided expert consulting or testimony in matters involving Bear Stearns, Angelo Mozilo as well as a Madoff feeder fund. Mr. Yale has extensive experience analyzing debt and equity securities and has written on accounting and auditing issues for both business publications and professional journals, including Financial Executives International Research Foundation American Banker, Fraud Magazine, the Journal of Credit Risk Management and the American Bar Association Officer's and Director's Liability Law Journal. Mr. Yale is a past president and board member of the Securities Experts Roundtable and was the Alumnus of the Year of the School of Accountancy of the University of Denver.



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Attendees

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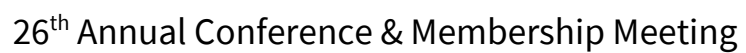
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Securities Experts Roundtable

26th Annual Conference & Membership Meeting

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Securities Experts Roundtable

26th Annual Conference & Membership Meeting

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Securities Experts Roundtable

26th Annual Conference & Membership Meeting

Notes

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UPCOMING EVENT

27TH ANNUAL MEETING & CONFERENCE
SUMMER 2019
MINNEAPOLIS/SAINT PAUL, MN



45 Essex Street, Suite 203, Millburn, NJ 07041 www.sacarbitration.com 973-232-5698

Welcome Members of the Securities Experts Roundtable to the 26th Annual Conference & Membership Meeting

Securities Experts' Roundtable's Benefits Committee, in cooperation with Securities Arbitration Commentator, has developed these three benefits for SER members. We invite all members to please take advantage of the substantial benefits.

Benefits provided by the Securities Arbitration Commentator, Inc.

Update ARBchek

This report delivers summaries that link to securities arbitration Awards from all forums, including FINRA. As a licensed distributor of FINRA Awards, SAC obtains FINRA Awards within days of their issuance. With UPDATE: ARBchek you can view the Awards as we get them! SAC will enroll as a free recipient of the weekly 'UPDATE: ARBchek' any existing members or new members.

Discount on SAC's Arbitrator Ranking Service

ARBchek is a powerful search tool for securities arbitration research. With ARBchek, you may search 57,000+ Award records, viewing the results in summarized formats. If you think an attorney would benefit from the ARBchek service when preparing to rank his/her arbitrators, you can benefit the client by obtaining for them a substantial discount for the ARBchek package. The benefit to you is that it builds good will with retaining counsel and gets you involved in the case timeline earlier.

Entry in SAC's Award Database

SER Experts' have the option to provide to SAC a list of the Awards in which they have participated for entry in SAC's Award Database. Securities attorneys use this database in researching their cases. If your name comes up as an active or successful expert in similar cases, it may lead to future retentions from retaining counsel. Please send only FINRA cases that went to an Award.

To learn more about the benefits offered go to the Securities Experts Roundtable Benefits page on the SER website: <http://securitiesexpert.org/member/benefits.php>

If you have any questions regarding these benefits please contact Pat Hayes, General Manager at 973-232-5698.