

SECURITIES EXPERTS ROUNDTABLE

ANNUAL MEETING AND CONFERENCE



July 22 & 23, 2016 | The Union League Club of New York

EVENT GUIDE

2015 - 2016 Directors

Bruce S. Foerster
President
Term Expires in 2018

Jeffery E. Schaff
President Elect
Term Expires in 2019

Gerald A. Guild
Treasurer
Term Expires in 2017

Richard P. Ryder
Secretary
Term Expires in 2016

Hugh Cohen
Director
Term Expires in 2017

Elizabeth Falk
Director
Term Expires in 2018

Henry R Ferguson
Director
Term Expires in 2017

Jack Herrmann
Director
Term Expires in 2017

David James Keogh
Director
Term Expires in 2016

Richard Leisner
Director
Term Expires in 2017

Craig Murray
Director
Term Expires in 2018

Frank A Sullivan
Director
Term Expires in 2016

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

The background of the page features a large, light gray circular seal. The seal contains the text "THE SECURITIES EXPERTS ROUNDTABLE" around the top edge and "AND SPEAK THE TRUTH" around the bottom edge. In the center of the seal is a stylized figure of a person with arms raised, possibly representing a witness or an expert.

The Securities Experts Roundtable ("SER")

is a group of professionals with significant experience as testifying and consulting experts in securities, business and investment-related litigation. SER traces its founding to a 1993 gathering of a small group of expert witnesses who knew and enjoyed each other's company and found benefit sharing experiences and expertise. Founder members literally held early meetings seated at a large round table in the hotel where they gathered.

Today, SER has some 90+ members from 27 states across the country and conducts its business exempt from federal income tax under Section 501(c) (6) of the Internal Revenue Code. Our members have impressive academic credentials and career accomplishments in accounting; asset and wealth management; business leadership and corporate governance; corporate finance and investment banking; the law; securities sales; trading and research and academe. Members, acting individually and not under the SER umbrella, provide expert witness services such as production of formal expert reports; testimonial work in federal and state courts, arbitration and mediation (AAA, FINRA, JAMS etc.) and SEC proceedings and in non-testimonial consultation.

SER encourages the pro bono participation of our members in Legal Clinics, several of which are affiliated with law schools, by teaching, consulting, and providing expert testimonial services. In addition, we support and improve the process of securities dispute resolution through participation in conferences, committees, and meetings of other organizations involved in the process of securities dispute resolution.

Our two-day annual membership meeting, traditionally held in August, offers a series of professional education programs with prominent outside speakers and events offering camaraderie and networking opportunities - all in very pleasant surroundings.



Securities Experts Roundtable
24th Annual Conference & Membership Meeting

Agenda

Friday, July 22, 2016

8:00am - Noon	Board of Directors Meeting	Board Members Only
11:30 - 12:45pm	Registration and Buffet Lunch	Members and registered guests
12:45 - 1:30	Annual Membership Meeting <ul style="list-style-type: none">• Election of President-Elect and Directors• Officers' reports	Bruce Foerster <i>President</i>
1:30 - 2:15	Legal Clinic Update An update of the Legal Clinics and how you can become more involved by lecturing and/or providing pro bono services.	Jill I. Gross, Esq. <i>Professor of Law, Elisabeth Haub School of Law at Pace University</i>
2:15 - 2:30	Break	
2:30 - 3:30	FINRA Initiatives Update / SAC Filing Trends (aka The "Rick & Rick" Show) This event is a long-standing SER tradition that will bring us up to date on changes in the world of dispute resolution.	Richard W. Berry, Esq. <i>Executive Vice President & Director of Dispute Resolution at FINRA</i>
		Richard P. Ryder, Esq. <i>Founder/President & Editor/Publisher of Securities Arbitration Commentator</i>
3:30 - 3:45	Break	
3:45 - 4:45	The FINRA Dispute Resolution Task Force Report after seven months: Where are we now and where are we going? Fast-paced, interactive program will dissect the Task Force's 70-page Final Report and discuss key issues such as: What are the key recommendations? How will recommendations be implemented and evaluated? What happens to the "no consensus" items? Where will we be in three years?	Moderator: George H. Friedman, Esq. <i>Chairman of Arbitration Resolution Services, Inc.</i> Panelists: Richard W. Berry, Esq. Richard P. Ryder, Esq. Jenice Malecki, Esq. <i>Owner, Malecki Law</i> Noah Sorkin, Esq. <i>General Counsel, AIG Advisor Group</i>



Securities Experts Roundtable
24th Annual Conference & Membership Meeting

Agenda

- 4:45 Adjourn and freshen up.
- 5:00 – 6:30 **Special Event: Photograph Opportunity!**
Members are invited to have their photograph taken for use on SER's website and/or their own use. **Rachel Crittenden**
Local professional photographer
- 5:30 – 6:30 **Cocktail Reception: The Union League Club, New York City**
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 - 9:00 **Annual Dinner: The Union League Club, New York City**
Presentation: "THE FBI ON WALL STREET" Members and registered guests
Keynote Speaker:
David A. Chaves
*FBI White Collar
Coordinator/Complex Crimes*



Securities Experts Roundtable
24th Annual Conference & Membership Meeting

Agenda

Saturday, July 23, 2016

8:00 – 9:00am	Coffee & Pastries (Continental Breakfast in the Mary Murray Room from 7AM included in room rate)	Members and registered guests
9:00 – 10:00	The Graying of America - Suitability and Supervision for Senior Investors This panel examines how recent regulatory notices, enforcement priorities and educational offerings play into securities arbitrations.	Moderator: Frank Sullivan Panelists: Jenice Malecki, Esq. <i>Owner, Malecki Law</i> David Keogh
10:00 – 10:15	Break	
10:15 – 11:15	The DOL Fiduciary Rule in FINRA arbitrations Now that the Department of Labor Fiduciary Rule is a reality, it is time to delve into what the brokerage industry needs to do to comply with it. This rule will have a meaningful impact on the standards of care considered at most securities arbitrations. The panel will explain what every SER member needs to understand about the rule and its ramifications on securities arbitrations.	Panel Chair: Stuart Ober Panelists: Gerry Guild Jeffery Schaff
11:15 – 12:15pm	Buffet Lunch	Members only
12:15 – 1:45	Testifying Competition: Part I Given a hypothetical fact pattern, the competing experts will encounter formidable examination from two of the most accomplished legal practitioners in securities litigation.	Moderator: Ross Tulman Legal Practitioners: Seth E. Lipner, Esq. <i>Deutsch & Lipner</i> David E. Robbins, Esq. <i>Kaufmann, Gildin & Robbins</i>
1:45 – 2:00	Break	
2:00 – 3:30	Testifying Competition: Part II	Moderator: Ross Tulman Legal Practitioners: Seth E. Lipner, Esq. David E. Robbins, Esq.

Programs and times are subject to change.



Securities Experts Roundtable 24th Annual Conference & Membership Meeting

Agenda

3:30 – 3:45

Testifying Competition: Awards

3:45 – 4:00

Break

4:00 – 5:00

Members' Roundtable

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

Moderator:

Richard B. Chess

5:00

Adjourn and freshen up

7:00 – 9:00

**Post-Conference add-on Dinner,
Da Noi Midtown 214 E 49th Street.**

Join us out of the town for an authentic New York City Italian dining experience that Zagat's describes as "Old-world red-sauce cooking like nonna's draws fans to these congenial Italians where generous portions turn somewhat pricey tabs into money well spent; the crowd's right out of a scene from The Godfather!"



Securities Experts Roundtable

24th Annual Conference & Membership Meeting

Biographies



Richard W. Berry is FINRA's Executive Vice President and Director 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.



Special Agent David A. Chaves is a senior FBI Official assigned to the New York Division. He serves as the securities fraud program manager for the most visible securities cases prosecuted over the last decade. He is widely recognized as the chief strategist in coordinating these complex white collar investigations and for infiltrating corrupt participants in the hedge fund industry through the use of sophisticated techniques, undercover operations, and wire taps. He is a securities fraud subject matter expert and lectures to audiences in both the public and private sector on securities fraud, FCPA, and cyber threats to the financial industry. Prior to joining the FBI he was a civil litigation attorney in Boston, MA.



Bruce Foerster A.B. English, Haverford College (1963); M.B.A. Management Information and Control, University of Pennsylvania Wharton School of Finance and Commerce (1971). Commissioned officer, U.S. Navy: 7 active, 20 years reserve duty; retired Captain. 23 years with 5 Wall Street firms: Birr, Wilson; H.C. Wainwright; Warburg Paribas Becker/A.G. Becker; PaineWebber; Lehman Brothers in equity and fixed income syndicate/capital markets. Chaired Securities Industry Association (SIA, now SIFMA); Syndicate Committee and National Association of Securities Dealers (NASD, now FINRA); Corporate Financing Committee; founding chair SIA NY District Economic Education Foundation. Founded South Beach Capital Markets Advisory Corporation (SBC), Miami Beach FL corporate financial advisory firm (1995). Independent director of 9 mutual funds, non-industry governor of Philadelphia Stock Exchange and director of 15 other public, private and not-for-profit organizations. Merged SBC with Milwaukee broker-dealer to create South Beach Capital Markets Incorporated - investment bank/broker dealer, Miami. Joined Aurora Capital (sub-prime auto finance) as chief financial officer. Re-activated SBC in 2006 to advise CEOs, CFOs, boards of public and private companies. Lectures/speaks on IPO Process, Capital Markets Access, Investment Banking Industry; wealth management and corporate ethics/corporate governance. Faculty member, University of Florida Warrington College of Business Administration, Hough Graduate School of Business. FINRA dispute resolution arbitrator; conducts investment banking/capital markets/corporate governance expert witness practice; contributor to Bloomberg TV/Radio, CNN, FOX Business and NPR; independent director of Cabrera Capital Markets; founder and co-editor of Capital Markets Handbook, industry primer in sixth edition, 2015 revision.



George H. Friedman, an ADR consultant and Chairman of the Board of Directors of Arbitration Resolution Services, Inc., 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 of the Securities Arbitration Commentator. He is also a member of the AAA's national roster of arbitrators. 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 the New York and New Jersey Bars, several federal courts and the United States Supreme Court.



Securities Experts Roundtable

24th Annual Conference & Membership Meeting

Biographies



Jill I. Gross is a Professor of Law at the Elisabeth Haub School of Law at Pace University. She was the James D. Hopkins Professor of Law from August 2013 to July 2015 (rotating endowed Chair awarded in recognition of outstanding scholarship and teaching). Professor Gross teaches courses in dispute resolution, securities law, legal ethics and lawyering skills. Professor Gross also has taught at UNLV's Boyd School of Law, Cornell Law School and Cardozo Law School. She is an arbitrator for the American Arbitration Association, FINRA Dispute Resolution and the National Futures Association, a member of the Securities Experts Roundtable, former Chair of the Securities ADR Committee of the ABA Section of Dispute Resolution, and former Chair of the Practising Law Institute's annual Securities Arbitration continuing legal education program. She was a public member of the FINRA National Arbitration and Mediation Committee from 2006-09. She has published prolifically in law reviews and journals in the area of dispute resolution and investor justice, has presented nationally at seminars and conferences on issues related to securities arbitration, has been quoted in the national media on issues relating to investor rights, and has been retained as a consulting and testifying expert in securities arbitrations, litigations and enforcement proceedings. In 2012, Professor Gross was elected to Cornell University's President's Council of Cornell Women. Before entering academia, Professor Gross was an attorney in the New York City firms of Kaye Scholer LLP, Morvillo, Abramowitz, Grand, Iason & Silberberg, and Parcher, Hayes & Snyder, representing clients in white collar criminal and securities enforcement proceedings, securities arbitrations, and other commercial litigation. She graduated from Cornell University (A.B. *magna cum laude*; Phi Beta Kappa) and Harvard Law School (J.D. *cum laude*).



Gerry Guild's expertise includes both equity and fixed income from sales, analyst, and trading points of view. He has covered the entire spectrum of accounts from the smallest individual investors to the largest institutions in the US from all three of these disciplines. As both a branch manager and product manager he has extensive experience in supervisory matters, including marginability and risk assessment. As a Director of a brokerage company Mr. Guild was involved in the creation and implementation of a wide variety of investment products offered by the investment executives to the firm's clients. One of these was a wrap fee program where selected IRs were allowed to solicit accounts that were managed by them or outside managers. This also involved setting out firm policy in fixed income products including mark-up and mark-down guidelines. Mr. Guild has been the Chief Fixed Income Strategist for several firms, hosted national bond conferences, and appeared widely in the press as well as radio and television. He often spoke at seminars on portfolio strategy and asset allocation at many branch offices attended by the public and taught many courses on economics and fixed income securities at two academic institutions. He is, and has been for many years, a member of the New York Society of Security Analysts, the CFA Institute, and Life member of the Fixed Income Analysts Society.



David J. Keogh is President of DJK Consulting LLC. He has worked in the securities industry for 30+ years in various capacities and is currently the Director of Compliance at LifeMark Securities Corporation a nationally registered broker/dealer and SEC registered RIA. DJK Consulting provides expert witness consulting and testimony at arbitrations or mediations, and is available nationwide. Mr. Keogh has provided consultation or testimony in matters involving; Compliance Audits, Churning, Failure to Supervise, Misrepresentation, Mutual Funds, Options, Restricted Securities, Sales Practice Violations, Fraud, Branch Supervision, Breach of Fiduciary Duty, Suitability, Concentration, Selling away, Margin, Compliance Manuals, Policy and Procedure Manuals, FINRA and SEC Regulations, Private Placements, 1031 Exchanges, Elder abuse, and Unauthorized trading. Mr. Keogh has obtained the Series 4, 7, 8, 63 & 65 securities licenses, the NY/NJ Health/Life and Accident Agent Licenses, and the Global Financial Steward Certification during his career. David has been a member of the Securities Expert Roundtable since 2007, Director since 2013, serves on the Membership Committee and is the current chair of the Nominating Committee. Additionally, he has served as First Vice President, Executive Committee Board of Trustees at The Anderson House a nonprofit



Securities Experts Roundtable

24th Annual Conference & Membership Meeting

Biographies

organization dedicated to providing quality rehabilitative treatment to women located in Whitehouse Station, NJ since 2010. He has also provided pro bono expertise and advice to Cornell and Seton Hall Law Clinics.



Seth E. Lipner is a member of Deutsch & Lipner, a law firm that was formed in 1985. As a member of Deutsch & Lipner, Mr. Lipner focuses his practice on representing investors and other individuals with grievances against providers of financial services. The balance of Mr. Lipner's practice is federal and state court litigation. Seth E. Lipner is also Professor of Law at the Zicklin School of Business of Bernard M. Baruch College in New York City, where he has been on the full-time faculty for 35 years. Prof. Lipner is the author of numerous scholarly articles and law books on fields as diverse as international trade law, securities arbitration, and law and technology. Mr. Lipner was President of the Public Investors Arbitration Bar Association (PIABA) between 2000-01, as well as in 1994-95, he served as Secretary to the organization and on its Board of Directors since the organization's inception in 1990, and now holds the title "Director Emeritus." Until 2001, Mr. Lipner served on the Board of Editors of Securities Arbitration Commentator. He is now a member of the Board of Editors of the PIABA Bar Journal, and he writes a regular column there titled "From the Professor." Mr. Lipner also served on the National Arbitration and Mediation Committee of the NASD from 1998 to 2002. Prof. Lipner's encyclopedic treatise, "Securities Arbitration Desk Reference," written together with Emeritus Professor Joe Long of Oklahoma Law School and Prof. William Jacobson of Cornell Law School, is available from West Publishing. The blog of a leading securities arbitration law firm describes the book: "Professors Seth Lipner and Joe Long have put together an essential reference book which all attorneys should bring to the hearing."



Jenice L. Malecki is a well-known securities attorney, with experience representing a wide range of clients in securities matters, both investors and industry professionals. Ms. Malecki has handled thousands of investor, intra-industry and employment matters, including arbitrations, whistleblower complaints and contested governmental, regulatory and self-regulatory investigations and hearings, as well as mediations, settlements, Acceptance, Waiver and Consent Orders ("AWC"), litigation proceedings and appeals. She has been a FINRA arbitrator and Chairperson, and was recently appointed to FINRA's National Arbitration and Mediation Committee. She is also a trained mediator. Ms. Malecki is a frequent bar association and law school speaker, and author. She is a member of and has been on the Board of Directors (and an Officer of) the Public Investors Arbitration Bar Association. She has a J.D. from New York Law School and is admitted to the New York, Massachusetts and D.C. bars, as well as several federal courts.



Stuart Ober is an Accredited Investment Fiduciary Analyst[®]. In association with the Centre of Fiduciary Excellence, he has analyzed and assessed approximately 150 ERISA-regulated investment portfolios since 2009, to determine whether these portfolios were managed in compliance with fiduciary standards. He is the External Commentator, contributor, and Quality Control Advisor for *Prudent Practices for Investment Advisors* and *Prudent Practices for Investment Stewards* (published by f360 in 2013), two publications which define a global fiduciary standard for Investment Advisors and Investment Stewards (trustees and investment committee members). One of three members of the Certification Review Committee of f360, he reviews cases of potential fiduciary misconduct of f360 members to safeguard the integrity of the AIF[®] and AIFA[®] professional designations. Mr. Ober has been an investment professional for over 40 years, having worked on Wall Street as Product Manager for a number of firms, and was President and Principal of a Registered Investment Advisory firm for 13 years. This has provided experience on both the broker-dealer and investment adviser sides of the investment industry, in areas including fiduciary duties and responsibilities, suitability, due diligence, supervision, investment fees and compensation, and asset allocation.



Securities Experts Roundtable

24th Annual Conference & Membership Meeting

Biographies

He is the author of "Fiduciary Responsibility: Liability and Consequences," *Journal of Financial Planning*; "Mastering Prudent Investment Practices — Step-by-Step Guidelines for Investment Professionals," *PIABA Bar Journal*; "Ten Steps to Comprehensive Due Diligence," *Personal Financial Planning*; and various other published articles including: "Advisor Fees Compared;" "Securities Offering Reform;" "Comparison of Bank Trust Department Fees;" and "Fiduciary Duty of Loyalty in Affiliated Mutual Funds: Sole Interest vs. Best Interest."



David E. Robbins is a partner in the New York City law firm of Kaufmann Gildin & Robbins LLP and specializes in commercial arbitration, mediation and the representation of parties before regulatory agencies. He represents investors, brokers and firms and is a mediator and arbitrator. He is also an expert witness in malpractice and billing cases arising out of securities arbitrations. Mr. Robbins served as Special Deputy Attorney General of New York State, responsible for the civil and criminal prosecution of securities fraud cases. He was with the American Stock Exchange as its Director of the Compliance Department and Director of the Legal and Regulatory Policy Division, Director of Arbitration and Director of Disciplinary Hearings. Mr. Robbins is the author of *Securities Arbitration Procedure Manual*, the primary text in this area of the law for over 25 years. He regularly lectures at law schools that use the book in their courses. Since 1995, Mr. Robbins has written the annual Practice Commentaries to McKinney's Consolidated Laws of New York, in Article 23-A of the General Business Law, on securities arbitration and mediation for New York attorneys. He has written approximately 70 articles on securities law. Mr. Robbins served as the Chairperson for 23 Practising Law Institute (PLI) continuing education programs. He also edited and contributed to the program's course books. He was a member of FINRA Dispute Resolution's National Arbitration and Mediation Committee, where he chaired the Neutral Roster Subcommittee. He is a member of the New York City Bar Association, PIABA, The PIABA Foundation (for investor education), the Compliance and Legal Division of the Securities Industry and Financial Markets Association (SIFMA) and the Board of Editors of *Securities Arbitration Commentator*. Mr. Robbins is the co-chair of the New York State Bar Association program on securities arbitration.



Richard P. Ryder is President/Founder of *Securities Arbitration Commentator, Inc.*, and the editor/publisher of three newsletters, *Securities Arbitration Commentator*, *Securities Arbitration Alert* and *SAC's Online Litigation Alert*. He served with the NASD for seven years as New York District Counsel among other positions, and later as Director of Arbitration in charge of the NASD's nationwide arbitration program. From 1982 through 1988, he was head of litigation and Associate General Counsel for PaineWebber, Inc. Mr. Ryder also participates in the arbitration process as an arbitrator and mediator and appears as a speaker on the subjects of securities arbitration and litigation from time to time. Mr. Ryder earned his J.D. degree from New York University School of Law.



Jeffery E. Schaff, AIFA™ With over 25 years in the financial services industry, wearing various hats, Jeffery has developed a broad range of experience. Investment fiduciary responsibilities became his forte, exhibited in scores of fiduciary related expert witness cases amongst hundreds of engagements. Jeffery earned the Certified Fiduciary Auditor accreditation in the inaugural class conducted by the Center for Fiduciary Studies through the Katz Graduate School of Management at the University of Pittsburgh. He later earned the successor credential, Accredited Investment Fiduciary Analyst (AIFA™), in the inaugural class conducted by fi360, the leader in fiduciary education and certification. Jeffery additionally provides fiduciary services as an investment advisor supervising and monitoring client portfolios. Jeffery's case history includes fiduciary issues related to investment advisors, trustees, attorneys, employee benefit plans, and de facto fiduciaries.



Securities Experts Roundtable

24th Annual Conference & Membership Meeting

Biographies



Noah Sorkin has since 2008 served as Senior Vice President and General Counsel of AIG Advisor Group. He is responsible for managing all legal and regulatory functions impacting the independent broker-dealers of AIG Advisor Group. He began his legal career as an Assistant District Attorney with the King's County District Attorney's Office in Brooklyn, New York, as Senior Trial Counsel, prosecuting felony cases. He then joined Prudential Financial, Inc. where he assumed additional responsibility and was named Deputy General Counsel and Senior Vice President. At Prudential, Sorkin managed a geographically diverse group of legal professionals and was instrumental in guiding the company through numerous regulatory settlements. He also worked with regulators and sales professionals in coordinating the implementation of new processes. Mr. Sorkin has a J.D. from the George Washington University Law School, an LL.M in taxation from NYU Law School, and is admitted to practice in New York and several federal courts.



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.



Frank A. Sullivan has 35 years industry experience as Manager, Arbitrator, and Expert Witness. He has been approved as an expert for FINRA, and in US Civil Courts in NY, MA, TX and RI. His expertise includes Suitability, Senior Investment Disputes, Supervision, Derivatives, Annuities, Employment Disputes and Trust matters, which are some, but not all, issues of his prior testimony experience. He has testified in over 30 State, Federal and FINRA cases since 2001. Mr. Sullivan spent 30 years as a Financial Consultant/Managing Director for Merrill Lynch. He is fully licensed in the industry, including insurance and real estate, as well as a certified financial manager. In addition, Mr. Sullivan has served as an arbitrator and chairman for NASD/NYSE/FINRA since 1991 and heard over 25 cases. He has been an adjunct Professor of Finance and Business for 6 years at Western New England and University of Rhode Island. Mr. Sullivan has been a member of the Securities Experts Roundtable for the past six years and has served on several conference panels. He is a principal in the firm Litigation Services.



Securities Experts Roundtable 24th Annual Conference & Membership Meeting

Attendees

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Securities Experts Roundtable 24th Annual Conference & Membership Meeting

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UPCOMING EVENT



**25TH ANNUAL MEETING AND CONFERENCE
SUMMER 2017
UNION LEAGUE CLUB
CHICAGO**



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Welcome Members of the Securities Experts Roundtable to the 24th 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.

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