

VII. General pertinent business or legal experience:

I WAS EMPLOYED AS ARBITRATION COUNSEL AT THE NYSE FROM 1984-1986. THIS EXPOSED ME TO ALL ASPECTS OF THE SECURITIES INDUSTRY AND THE ARBITRATION PROCESS. I THEN MOVED TO THOMSON McKINNON SECURITIES, INC. (TMSI) IN 1986 AS ASSISTANT GENERAL COUNSEL. DURING MY EMPLOYMENT AT TMSI, I WORKED ON LITIGATION FOR THE FIRM INVOLVING CASES BROUGHT BY CUSTOMERS AGAINST THE FIRM AND THE BROKERS, INVOLVING ALL TYPES OF ALLEGATIONS AND ALL TYPES OF INVESTMENT VEHICLES, INCLUDING EQUITIES, OPTIONS, FUTURES, COMMODITIES, LIMITED PARTNERSHIPS, NEW ISSUES, ETC. I ALSO HANDLED CASES INVOLVING THE OPERATIONS, BACK OFFICE ASPECTS FOR THE FIRM AND MATTERS INVOLVING EMPLOYMENT DISCRIMINATION BROUGHT BY INDIVIDUALS OR THE EEOC. IN ADDITION, I WORKED ON INVESTIGATIONS CONDUCTED BY THE STATE AND FEDERAL GOVERNMENTAL AGENCIES AS WELL AS THE SELF-REGULATORY AGENCIES. WHEN TMSI WAS SOLD, I JOINED GRUNTAL & CO. AS ASSISTANT GENERAL COUNSEL PERFORMING THE SAME DUTIES AS LISTED FOR TMSI. IN OCTOBER, 1990, I BEGAN MY OWN LAW PRACTICE, CONCENTRATING ON SECURITIES INDUSTRY MATTERS. I REPRESENT SECURITIES HOUSES AND INDIVIDUAL BROKERS IN ARBITRATIONS BROUGHT BY CUSTOMERS AND IN INVESTIGATIONS COMMENCED BY STATE, FEDERAL AND SELF-REGULATORY BODIES. I HAVE ACTED AS CONSULTANT TO ATTORNEYS INVOLVING SECURITIES DISPUTES. I AM KNOWLEDGEABLE OF THE USE OF THE INTERNET WITHIN THE SECURITIES INDUSTRY.

I REPRESENT INDIVIDUAL BUSINESS OWNERS IN THEIR CORPORATE AND PERSONAL MATTERS UNRELATED TO THE SECURITIES INDUSTRY. I ADVISE BUSINESSES ON FINANCIAL STRUCTURING, DEBT STRUCTURING, ETC. I AM INVOLVED IN THE INTERNATIONAL COMMUNITY IN REPRESENTING CLIENTS WHO HAVE FINANCIAL DEALINGS THROUGHOUT THE WORLD.