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<b>I. Profession</b>	<b>Accrediting Agency or Jurisdiction</b>	<b>Date of Admission</b>
Lawyer (JD, LLM)	Bar, State of Ohio	1974
	Bar, State of NY	1976
	Bar, Fed District Court SDNY/EDNY	1978
	Bar, Fed Circuit Court of Appeals 2cd Circuit	1978
	Bar, US Supreme Court	1978
	Securities Principal	FINRA (Series 24, 26) Also Series 7, 63, 65

<b>II. Professional Organization</b>	<b>Date of Admission</b>	<b>Active/Inactive</b>
American Bar Association	1976	Active
FINRA	1990	Active

### **III. General professional experience:**

Practiced corporate/securities law for nine years after earning an advanced law degree in 1975 (LLM) (1975-1983 and in 1988) both in private practice and in-house with a major wire house (Assistant General Counsel of PaineWebber, Inc.). Concentration in investment company matters. Held supervisory positions in the securities industry since 1983: President of Paine Webber Futures Management, Inc. (former); President of PW Trust (former); President of Jackson, Grant & Company (since 1990) and President of Jackson, Grant Investment Advisers, Inc. (since 1992).

### **IV. General pertinent experience:**

Arbitrator for the New York Stock Exchange (former) and for FINRA (formerly the National Association of Securities Dealers) since 1993. Appointed to FINRA's Chairperson's Roster. Appointed to FINRA's Mediator Roster.

Arbitrator training:

AAA 1992

NYSE 11/12/93

FINRA 10/11/95

NYSE 10/24/95 Discovery and Punitive Damages

FINRA 12/8/95 Employment Law

FINRA 7/31/96 Chairperson Training

FINRA Mediation Training

**V. Mediation training:**

FINRA sponsored US Bankruptcy Court Training (24 hours, September 30 – Oct 2, 1996). Certified as a mediator by the US Bankruptcy Court (EDNY 10/6/96). FINRA Mediator.

**VI. Pertinent bankruptcy training:**

Familiarity with general principles through formal legal training.

**VII. General pertinent business or legal experience:**

Since 1983, served as chief executive of four firms. 1- Paine Webber Futures Management Corporation, the general partner of managed futures limited partnerships offered the public through the retail brokerage system. Signing principal on SEC registration statements. 2 - PW Trust Company, PaineWebber's non-bank bank in its organization phase and later in a crisis management situation. 3 - Jackson, Grant & Company, a FINRA broker/dealer (since inception in 1990). 4 – Jackson, Grant Investment Advisers, Inc., a registered investment adviser (since inception in 1992). Practiced corporate/securities law for nine years in-house and in private practice with New York City law firms.