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<u>I. Profession</u>	<u>Accrediting Agency or Jurisdiction</u>	<u>Date of Admission</u>
Attorney	New York	February 10, 1975
Attorney	District of Columbia	October 2, 1979
Attorney	California (inactive)	July 1980

<u>II. Professional Organization</u>	<u>Date of Admission</u>	<u>Active/Inactive</u>
Office of the Hearing Board, New York Stock Exchange Regulation, Inc.	2009	present Member
Disciplinary Hearing Committee, American Stock Exchange	1995-2009	
Merrill Lynch's representative to the Bond Market Association	2001-2003	Member
Board of Arbitrators, National Association of Securities Dealers	1981-1986	Member
SIFMA and FIA Law and Compliance Divisions		Member
Bar Association of New York		(inactive)
Bar Association of the District of Columbia		(inactive)
Bar Association of California		(inactive)

III. General professional experience:

I am currently a mediator and arbitrator at JAMS. Prior to joining JAMS in 2010, I was Senior Vice President and Assistant General Counsel at Merrill Lynch Wealth Management. In my 25 years at Merrill Lynch, I represented the firm, its' affiliates and employees in litigation and other contentious matters relating to the broker-dealer, investment banking and institutional sales and trading businesses. Prior to joining Merrill Lynch, I was New York District Counsel to the National Association of Securities Dealers, Inc. and in the private practice of law.

IV. General pertinent experience:

I am a mediator and arbitrator affiliated with JAMS, the largest provider of mediation and arbitration services in the world, where I am a member of JAMS' Financial Services Practice Group. In connection with my JAMS association, I have undergone fifteen hours of formal mediation training, principally provided by Jay Folberg, former Dean of the University of San Francisco School of Law and co-author of *Mediation: the Roles of Advocate and Neutral*, and Jay Welsh, JAMS' General Counsel. I have also participated, both as a panelist and as an attendee, in numerous CLE programs spanning many years involving ADR, including mediation, under the auspices of the Practicing Law Institute and other recognized CLE providers.

Prior to joining JAMS, I was in-house counsel at Merrill Lynch, retiring as Senior Vice President and Assistant General Counsel in 2010 after twenty-five years. During this period, I participated as both an advocate and a party representative in multiple mediations under the auspices of both state and federal courts, as well as privately. In addition to my mediation experience, I have over twenty-five years experience negotiating settlement of a wide variety of commercial and financial disputes involving individuals, corporations, trusts and other legal entities, sovereign, state and local governments.

V. Mediation training:

I have undergone fifteen hours of formal mediation training sponsored by JAMS, and principally provided by Jay Folberg, former Dean of the University of San Francisco School of Law and co-author of *Mediation: the Roles of Advocate and Neutral*, and Jay Welsh, JAMS' General Counsel

VI. Pertinent bankruptcy training:

Over the course of my career, I have represented Merrill Lynch and its' affiliates in numerous matters involving lender liability, preferential transfers, creditor claims and similar issues where Merrill Lynch acted as either lender, investor, underwriter or syndicate manager for the bankrupt entity or a creditor of the bankrupt. I was responsible for Merrill Lynch's defense in litigation filed by voluntary investors in the Orange County California Investment Pool in the wake of the Orange County bankruptcy in 1994, and claims filed by investors and others related to the bankruptcy of Enron Corp. in 2001.

VII. General pertinent business or legal experience: