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<b>I. Profession</b>	<b>Accrediting Agency or Jurisdiction</b>	<b>Date of Admission</b>
Attorney	New York State Supreme Court, Appellate Division, Third Department	January, 1970
Attorney	U.S. District Court, Eastern District	September, 1975
Attorney	U.S. District Court, Southern District	August, 1975
Attorney	U.S. Court of Appeals, Second Circuit	August, 1975
Attorney	Supreme Court of the United States	September, 1975

<b>II. Professional Organizations</b>	<b>Date of Admission</b>	<b>Active/Inactive</b>
N.Y. State Bar Association	January, 1970	Active
American Bar Association	June, 1994	Inactive
AIDA Reinsurance & Insurance Arbitration Society		

### **III. General Professional Experience:**

From 1969 through August 1993, I was Associate General Counsel for several large securities-brokers, including Shearson Lehman Brothers, Bache Halsey Stuart and Loeb Rhoades. As such, I was responsible for supervising litigation, handling arbitrations and appearances before regulatory and self-regulatory agencies in investigations and administrative proceedings. Additionally, I was responsible for oversight of a broad range of legal issues, including employment related disputes, federal and state securities laws, commodity and ERISA regulations, and general corporate law. I also provided legal advisory services for branch offices in my region of responsibility as well as new product development. In 1985 I became the Director of Risk Management for Shearson, assuming responsibility for its worldwide insurance program which included risk identification and evaluation, policy review, negotiation and selection of insurance programs, claims handling and resolution.

In August of 1993, I joined AON Financial Services and remained with them until my retirement in May 2003. As a Senior Claims Counsel for AON, I oversaw large commercial litigations as part of insurance claims' management for AON clients. I assisted large insureds (customers of AON) who had purchased insurance coverage through AON, with respect to claims management. Such claims included securities class actions, derivative suits, employment actions, director and officer claims and other professional liability matters. As part of my responsibility, I assisted AON clients and their counsel in the resolution of such claims and negotiated settlements from large insurance carriers of policy proceeds necessary to settle many of these matters.

I am currently involved in private practice acting as an arbitrator and mediator.

#### **IV. Experience and Familiarity with Bankruptcy Law:**

Over my years of practice, I have had bankruptcy experience when handling claims matters or litigation wherein there was a bankruptcy filing. In a number of Director and Officer class actions I was involved with, bankruptcy filings were involved and issues arose between the directors and officers and the company which filed for protection. These issues involved bar orders and disputes relating to ownership of insurance policies or proceeds of such policies.

#### **V. Mediation Training:**

Three day program in Advanced Negotiation and Mediation Skills Training sponsored by the NASD Dispute Resolution and the Southern and Eastern Districts of New York U.S. Bankruptcy Courts, and presented by Abrams Mediation and Negotiation Inc; March 7,8,9, 2005.

#### **VI. Mediation Experience:**

In my many years of practice, I have negotiated amicable settlements in numerous claims and litigations. While at AON, I often acted as a "mediator" to resolve claim disputes between AON clients who purchased insurance through AON and the insurance carriers who issued such insurance, although it was not a formal mediation process and both parties knew I was representing AON's clients. In addition, during my years of practice, I have attended formal mediation proceedings as a representative of one of the parties.

#### **VII. Area of Expertise:**

Securities, Insurance, Commercial, Claims Handling. Please see answer to III above.

### **VIII. General Pertinent Business or Legal Experience:**

Certified Arbitrator for FINRA Dispute Resolution, AIDA Reinsurance & Insurance Arbitration Society (ARIAS) and the First District Court of Nassau County. I have been certified as a mediator for the U.S. Bankruptcy Court, Southern and Eastern Districts.

While at AON, I was also registered as an insurance broker with a number of states and I was involved in the negotiation and placement of large insurance coverages.

### **IX. Other Pertinent Information:**

I have conducted training seminars and authored internal articles and publications on securities law, public offerings, and related insurance matters. I have lectured at various forums, including the American Conference Institute. I have been an arbitrator in over 50 cases with FINRA Dispute Resolution and have acted a Chairman of the panel in many of such cases.

### **X. Fee Structure (Compensation and Expense Reimbursement):**

\$300 per hour plus normal and customary expense reimbursement.