

Name: Amy Rothstein Date: January 6, 2014
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I. Profession	Accrediting Agency or Jurisdiction	Date of Admissions
Attorney	New York State, Appellate Division, First Department	January 1973
	Southern and Eastern Districts of New York	August 1973
	Western District of New York	March 1978
	US Court of Appeals, Second Circuit	March 1977

II. Professional Organizations	Date of Admission	Active/Inactive
New York City Bar Association	1995	Active
New York County Lawyers' Association	1995	Active
Association for Conflict Resolution	1999	Active

III. General Professional Experience: I have practiced law for more than forty years, first as a litigator, and for the last 16 years, as an ADR neutral as well as a litigator.

IV. Experience and Familiarity with Bankruptcy Law: I have mediated several bankruptcy cases both in this court and in the SDNY. I have also taken a PLI bankruptcy course and undertaken additional reading in the area.

V. Mediation Training:

Institute for Conflict Management, sponsored jointly by the Bankruptcy Court for the Southern District of New York and the National Association of Securities Dealers (February 12-14, 1996); United States District Court, Southern District of New York, given by Margaret Shaw, Michael Lewis and Linda Singer (December 8-9, 1997); JAMS training sponsored by the New York State Supreme Court, Commercial Division (June, 1997); Mediation "Brush-up" Roundtable at the Southern District of New York by Margaret Shaw, Linda Singer and Michael Lewis (December, 1999); CUNY Dispute Resolution Consortium Sexual Harassment Training (January, 2000); Mediation Workshop at Harvard Law School Program of Instruction for Lawyers, given by Frank Sander, Linda Singer and Michael Lewis (June 11-15, 2001); Breaking the Impasse:

Moving from Stalemate to Settlement in Mediation, New York County Lawyers' Association (October, 2005); Deconstruction of a Mediation in an Employment Discrimination Action, Eastern District of New York (April, 2006); Advanced Mediation Training, New York State Judicial Institute, Office of Court Administration (May, 2006); Avoiding Litigation About Mediation (EDNY, October, 2006); Hollywood Comes to Mediation: Mediation Lessons from the Movies (EDNY, July, 2007); Creating Settlement Opportunities at Pre-Mediation Conferences (EDNY, February, 2008); 2008 ACR of Greater New York Conference (The Seven Habits of Highly Effective Neutrals, Risk Analysis for Commercial Mediators, Ethical Obligations for Neutrals); 2009 ACR of Greater New York Conference (International Mediation, Hybrid Processes and the Shifting roles of Neutrals, Are Mediator Skills Enough?); AAA Advanced Mediator Training Series: The Extent (or Limit) of Mediator Influence to Effect Settlement, 2012.

VI. Mediation Experience:

I have been a mediator since 1997, during which time I have mediated approximately eighty-five cases that were in litigation or arbitration. I mediate privately, for the American Arbitration Association, and for the Financial Industry Regulatory Authority. I am on the panel of mediators for the court-annexed programs in the Bankruptcy Courts and the District Courts of the Southern and Eastern Districts of New York, and the Commercial Division, New York Supreme Court, New York County.

I have served as a mediation trainer or facilitator for the New York City Bar Association; the Southern District Bankruptcy Court/NASD mediation training program; the Commercial Division, New York Supreme Court, New York County; the New York State Attorney General's Office; the New York City Law Department Columbia; and at the following law schools: NYU, Columbia and Fordham.

I have served on ADR committees of the New York City Bar Association and the New York County Lawyers' Association.

VII. Area of Expertise: commercial, securities, employment

VIII. General Pertinent Business or Legal Experience: In addition to my work as a mediator, I serve as an Arbitrator for the American Arbitration Association and previously for the New York Stock Exchange. Since 1999, I have served as a Special Discovery Master for various New York County Commercial Division justices. That work has substantially enhanced my experience and skill as a neutral in commercial disputes. Additionally, for several years I was an Independent Hearing Officer for the New York State Banking Department and currently am a Referee for the Liquidation Bureau of the New York State Insurance Department.

I have worked as a court-appointed monitor or served as counsel to a court-appointed monitor over several small corporations and one law practice and as a receiver of an apartment building and therefore have experience overseeing the day-to-day functioning of businesses, including the management of their debt. My experience as an Assistant

United States Attorney in the Southern District's Civil Division gave me some exposure to trusteeship issues.

IX. Other Pertinent Information

Author: "Before the Beginning: Conversations With Your Mediator," New York Law Journal, September 10, 2010, p.4; "Mock Arbitrations: A New Kind of 'Jury' Research," New York Law Journal, September 10, 2009, p. 4

- X. Fee Structure (Compensation and Expense Reimbursement):** My hourly rate is \$450. I do not charge for the preliminary communications with counsel in setting up the mediation. Typically, I do not seek expense reimbursement, except when travel outside New York City is required.

- XI. Pro Bono Preference:** Brooklyn