

I have been a New York attorney for over 30 years specializing in securities arbitration. Today, I mediate civil cases in the Bronx, Kings and Richmond counties.

Securities Disputes

I have trained arbitrators on discovery, hearing procedures and award preparation in broker-dealer disputes involving fraud, wrongful termination, and employee compensation. I am comfortable evaluating financial statements and corporate disclosures on forms 10K and 10Q.

Current Practice

I recently served as co-counsel in a New York Supreme Court Petition under the Interstate Discovery and Depositions Act. I arbitrate attorney fee disputes for the Nassau County Supreme Court and auto warranty disputes for the National Center for Dispute Settlement. My practice includes residential real estate, commercial leases, auto leasing, and closely held corporations.

As an associate in a civil defense litigation practice, I deposed witnesses, prepared pleadings and wrote appeals.

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David Carey
Carey Law
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I.

Professional	Accrediting Agency or Jurisdiction	Date of Admission
Attorney	New York	1986
	U.S.D.C. - S.D.N.Y	2020

II.

Professional Organizations	Date of Admission	Active/Inactive
New York State Bar Ass.	1986	Active
Federalist Society	2000	Active

III. General Professional Experience

Carey Law - Feb. 2020 to date: Mediator in civil cases in Kings, Richmond and Bronx counties. Recent co-counsel in NY Supreme Ct. petition under Interstate Discovery and Depositions Act; Arbitrator Part 137 Attorney Fee Disputes - Nassau County. Arbitrator in auto warranty cases - National Center for Dispute Settlement. Residential real estate practice.

FINRA Dispute Resolution Services (merged with New York Stock Exchange)

Associate Director 1988 to 2020 - Trained arbitrators and staff on hearing procedures, discovery, jurisdiction, injunctions, conflicts of interest and expungement.

Law Office of Renny Wm. Way - Civil defense litigation in personal injury cases. Depositions, hearings, motions, pleadings and appeals.

IV. Experience and Familiarity with Bankruptcy Law:

At FINRA, I evaluated whether cases with bankrupt parties were covered by the automatic stay, whether new cases had previously been discharged in bankruptcy, and the effect of bankruptcy filings on FINRA's expedited suspension process for unpaid awards (e.g., In re Lehman Brothers Holdings, Inc.)

V. Mediation Training:

Rule 146 New York Mediator Training - Commercial Mediation Training, New York State Bar Association (March 2021)

Mediator Skills Training - United States Bankruptcy Court - Southern District of New York / FINRA

VI. Mediation Experience:

List of Cases Mediated:

Ashley Parks - v. - Thomasine A. Mastrantoni, Index No. 22499/2018E - (Supreme Court - Bronx County)

Carrasco v. Legette - Index No. 34550/2018E (Supreme Court - Bronx County)

Jimenez v. Laud, Index No. 34444/2018E (Supreme Court – Bronx County)

Stern v. Dreamland Amusements, Index No. 522958/2017 (Supreme Court - Kings County)

Serrano v. City of New York, Index No. 505369/2017 (Supreme Court - Kings County)

Gantz v. Matis, Index No. 501885/2016 (Supreme Court - Kings County)

Susan Townley v. Amazing Nail Salon Inc., Index No. 152391/2019 (Supreme Court - Richmond County)

Ammara Yousaf vs Sys Realty LLC., Index No. 512936/2018 (Supreme Court - Kings County)

VII. Area of Expertise:

Broker-dealer, investments, closely held corporations, personal injury and real estate.

VIII. General Pertinent Business or Legal Experience:

I am comfortable evaluating financial statements and corporate disclosures on forms 10K and 10Q. Longtime shareholder of Berkshire Hathaway.

IX. Other Pertinent Information:

Publications:

- *Georgia Is Not on Voters' Minds discussing the Georgia primaries and the 17th Amendment to the U.S. Constitution*, The New York Law Journal 2020;

- *Unpaid Awards-What Arbitrators Can Do*, Practising Law Institute, Securities Arbitration 2020
- *Class Action Waivers in FINRA Employee Arbitrations: Is a Circuit Split on the Horizon?*The New York Law Journal (2020)
- *Discovery Abuses Can be Costly*, The Neutral Corner (2019)
- *Update on Securities Litigation Issues*, The New York Law Journal (2001)
- *A Mutual Holding Company Can Repurchase Stock by Establishing a Stock Holding Company*, New York Business Law Journal (1999)
- *A Broker's Disclosure of Payments for Money Market Sweeps: The Second Circuit Defers to the SEC*, Journal of Investment Compliance (2001)

X. Fee Structure (Compensation and Expense Reimbursement):

\$325.00 per hour

XI. Pro Bono Preference:

Central Islip