

SECURITIES EXPERTS ROUNDTABLE

ANNUAL MEETING AND CONFERENCE



August 2 & 3, 2019 | The Saint Paul Hotel, Saint Paul, Minnesota

EVENT GUIDE

2018 - 2019 Directors

Gordon Yale
President
Term Expires in 2020

David James Keogh
President Elect
Term Expires in 2022

Elizabeth Falk
Treasurer
Term Expires in 2021

Richard P Ryder
Secretary
Term Expires in 2019

Alan J. Besnoff
Director
Term Expires in 2020

Paul Carroll
Director
Term Expires in 2020

Jerry DeNigris
Director
Term Expires in 2020

Bob Lawson
Director
Term Expires in 2021

Craig Murray
Director
Term Expires in 2021

Jeffrey E. Schaff
Director
Term Expires in 2019

Ross Tulman
Director
Term Expires in 2019

Carrie Wisniewski
Director
Term Expires in 2020

Past Presidents

2017-2018 Ross Tulman
2016-2017 Jeffery Schaff
2015-2016 Bruce Foerster
2014-2015 Richard Leisner
2013-2014 Stuart Ober
2012-2013 Jeffery Schaff
2011-2012 GG Genco

2010-2011 Gordon Yale
2009-2010 Patricia Koetting
2008-2009 Stan Meyerson
2007-2008 Richard Sandow
2006-2007 Ross Tulman
2005-2006 Mary Calhoun

Original Directors / Incorporators

Howard Berg*

Marvin G Breen*

Mary E Calhoun*

Elwood A Crandall

Edward B Horwitz*

Sidney D Krasner

Benjamin Lubin*

Alfred E Monahan*

Richard P Ryder

Richard Sandow

Ross P Tulman

Michael D Weiner

*SER Director Emeritus

SECURITIES EXPERTS ROUNDTABLE

The Securities Experts Roundtable (SER) is a national professional association of experts with significant experience as testifying and consulting experts in securities, business and investment-related litigation. Collectively, our experts have testified in thousands of NASD and FINRA arbitrations, as well as in most arbitration forums, state courts, and federal court. SER's mission statement is to provide continuing professional education and promote ethics and integrity among its members while remaining dispute neutral as an organization.

Originally established in 1992, and incorporated in 2005 as a non-profit professional organization, SER has 80+ members spanning the United States. Currently in its 26th year, an Annual Conference, a dedicated web site and ongoing member networking are the primary tools SER employs to maintain its premier position in the expert witness field. SER members provide services individually and not under SER's umbrella. Their services include expert testimonial work in federal and state courts, arbitration and mediation forums (e.g., AAA, FINRA and JAMS) and SEC proceedings; production of formal expert reports and non-testimonial expert consulting. The Board of Directors adopted and encourages its members to adhere to SER Best Practices of ethics and integrity, and its motto - "Seek and Speak the Truth" - is the behavioral touchstone.

SER takes an interest in the improvement of securities dispute resolution and the organization has a demonstrated history of leadership in the process.

In 2004 a founding member co-authored work on non-sequestration of experts at hearings which is now common practice. In 2012 SER identified instances of electronic eavesdropping in hearings which also led to revision of the opening script. Once again, in 2014 SER alerted FINRA to the issue of "phantom retention of experts" which led FINRA to condemn this practice.



Securities Experts Roundtable

27th Annual Membership Meeting & Conference

Agenda

Friday, August 2, 2019

8:00am - Noon **Board of Directors Meeting**

Board members only

12:00 – 1:00pm **Registration and Buffet Lunch**

Members and registered guests

1:00 – 1:30 **Annual Membership Meeting**

- Election of President-Elect and Directors
- Officers' reports

Gordon Yale, President

1:30 – 2:45 **Update on FINRA and Securities ADR Developments**

What better way to kick off this year's meeting than with an update on the latest doings in the securities dispute resolution arena? **Richard W. Berry, Esq.** and **George H. Friedman, Esq.** will engage in a fast-paced, interactive review of what's new in the securities dispute resolution field. Hear about the latest rule changes, administrative improvements, case filing trends, and legal and regulatory developments, and what's in store going forward. Learn the panelists' views on the three arbitration-centric cases decided by the Supreme Court this Term, and the several anti-arbitration bills introduced this year. Join us for an exciting 75-minute kick-off panel!

Richard W. Berry, Esq.

Executive Vice President & Director of Dispute Resolution at FINRA

George Friedman, Esq.

SER member and former Executive VP - Dispute Resolution of the Financial Industry Regulatory Authority.

2:45 – 3:00 **Break**

3:00 - 4:00 **Judging the Expert: A View from the Bench, Attorney, and Arbitrator.**

Collectively they have completed hundreds upon hundreds of state and federal court cases, depositions, mediations and arbitrations. From their perspective as attorneys, arbitrators and judge, this distinguished panel will have a frank discussion of their impressions of what makes for an effective expert witness... and what doesn't.

Moderator:

James K Langdon, Esq.

Partner at Dorsey & Whitney LLP.

Panelists:

The Honorable Thomas S. Fraser,
Fourth Judicial District Hennepin County District Court

Phyllis Karasov, Esq. *Shareholder at Larkin Hoffman/FINRA Arbitrator*

Terrence Fleming, Esq.
Shareholder at Fredrikson & Byron/FINRA Arbitrator.



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4:00 - 4:15	Break	
4:15 - 5:15	Migration to RIA Platform and Increase in RIA Cases This session will delve into the migration of breakaway advisors from FINRA firms to RIA platforms. Discussion will include the formation of the RIA Business Model, supervisory role and proliferation of RIA cases. Case review, procedures, causes of actions and discovery considerations will be covered.	<p>Moderator: David Keogh, <i>SER member and President of DJK Consulting LLC</i></p> <p>Panelists: Matthew T. Boos, Esq. <i>Shareholder and head of Fredrikson & Byron's Investment Management Group</i> Thomas Taliaferro <i>SER Member</i></p>
6:00 – 6:45	Cocktail Reception Dress code: dress or pants suit for ladies/ coat and tie for men. An opportunity to network, form new friendships, and renew/burnish existing ones.	Members and registered guests
6:45 – 9:30	Annual Member/Guest Dinner at The Saint Paul Hotel Mystery Suspense Author Colin T. Nelson takes inspiration from his career as a criminal trial lawyer (prosecutor and public defender) for over 40 years "where he's seen cases that could never be used on reality TV--they're too real; no one would believe them!" His books are 'page turners' and he wants to teach his readers something new in every story... Colin's also written a financial handbook called, "When Can I Tell My Boss, I Quit!"	<p>Members and registered guests, invited attorneys</p> <p><u>Keynote Speaker:</u> Colin T. Nelson, Esq. Mystery Suspense Author</p>



Securities Experts Roundtable

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Saturday, August 3, 2019

8:00 – 9:00am

Buffet Breakfast

Members and registered guests

9:00 – 10:00

Due Diligence Standards on Alternative Investments

As Alternative Investment strategies become more mainstream and the enhanced emphasis of best interest standards emanating from the recent SEC's REG BI, financial services professionals have a heightened duty of care regarding due diligence. Individual policies and procedures associated with due diligence standards are an important part of comprehensive compliance framework. This session will outline suggested business practices around initial and ongoing due diligence focused on alternative investments.

Scott Smith, JD *President & CEO of FactRight LLC*

10:00 – 10:15

Break

10:15 – 11:15

In My Expert Opinion: Becoming an Effective Expert in the Financial Services Industry

To aid both aspiring experts and their counsel, *In My Expert Opinion* was born out of the desire to train experts in the positive aspects of expert witness work, to point out the pitfalls, and to provide a roadmap to a successful career.

Michael D. Weiner, Esq.,
Retired, Former Director at Bates Group and one of SER's original Director/Incorporators.

11:15 - 11:30pm

Break

11:30 – 12:30pm

Writing an Expert Report & Testifying Differences: Arbitration, Deposition, and Court

Panelists will cover these two significant areas of the expert witness practice. A well written expert report is critical under the strict guidelines of Federal Rule 26. Learn the "Do's and Don'ts" with advice from seasoned experts. In the second half, panelists will discuss the nuances between testifying under these three scenarios and provide tips for concise and compelling testimony.

Moderator:

Patricia Koetting, *SER member and Principal PKoetting & Assoc.*

Panelists:

Richard Leisner, Esq.,
SER member, Shareholder Trenam Law

Ross Tulman, *SER member, Principal Trade Investment Analysis Group*

Michael D. Weiner, Esq.



Securities Experts Roundtable

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12:30 – 1:30

Buffet Lunch

Members and Registered Guests

1:30 – 2:30

Death of the DOL/Birth of the SEC Best Interest

In June 2019, the Securities and Exchange Commission voted 3-1 to adopt a package of rules and interpretations, the majority argue will enhance the quality and transparency of retail investors' relationships with broker-dealers and investment advisors. This session will discuss the current fiduciary landscape in light of the adoption of Reg BI.

Keith Loveland, JD

SER member and Principal of Loveland Consulting.

2:30 – 2:45

Break

2:45 – 3:45

New Business Opportunities from Alternative Types of Securities/Investment-Related Areas

Secular forces have been at work reducing demand for Experts for traditional public investor cases. Hear from two experts who have made the decision to diversify their practice to include securities and investment-related cases of all types in federal and state court, before the SEC and state regulators.

Stuart Ober

SER member and President of Securities Investigations Inc.

Jack Herrmann

SER member and Founding member of Herrmann Dispute Resolution Services, LLC.

4:00 - 5:00

Experts Roundtable

Incoming President, **David Keogh**, hosts this informal but candid "give and take" session. This year we focus on practice management tips for the expert witness including Fee Structures, Retainer Agreements, and Marketing Techniques as well as opening up the floor for members to discuss any issues they have experienced and want to share the wisdom gained.

David Keogh

SER member and President of DJK Consulting LLC

6:00 – 8:30

Post-Conference add-on Dinner, *Pazzaluna*.

360 Saint Paul Street, Saint Paul

Wrap up your conference experience with a dinner out on the town at one of the Twin Cities' most popular Italian restaurants!

Members and registered guests



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Biographies



Richard W. Berry, Esq. is Executive Vice President and Director of FINRA's Office of Dispute Resolution. Prior to serving in this capacity, Mr. Berry was Senior Vice President, Dispute Resolution. In that role, he oversaw the four regional offices -- New York, Boca Raton, Chicago and Los Angeles -- and the New York Case Administration unit.

Mr. Berry joined FINRA, then NASD, in 1995 as head of Dispute Resolution's Los Angeles satellite office. In 2001, he was named Director of Case Administration in the New York City office. Prior to joining FINRA, he taught American law for one year in Budapest. Mr. Berry began his career practicing law in San Francisco. He is a graduate of the University of California at Santa Barbara and Hastings College of the Law. Mr. Berry is a member of the California Bar. Mr. Berry is passionate about public speaking. He has given hundreds of speeches over the past 30 years, and serves as the Executive Champion of FINRA's Toastmasters Clubs. Over Mr. Berry's career, he has participated in numerous public speaking trainings and seminars and coached colleagues and staff in public speaking.



Matthew T. Boos, Esq. has over 25 years of experience litigating in federal, state and administrative forums around the country. He is head of Fredrikson & Byron's Investment Management Group, and is also a shareholder in the firm's Business, Securities and Trusts & Estates Litigation Groups.

Matt serves as outside general counsel to many Registered Investment Advisory firms (RIAs) advising clients on a wide array of regulatory and compliance matters, including those arising under the Investment Advisers Act of 1940. Matt represents wealth management firms, investment adviser representatives, financial planners, broker-dealers, investment companies, insurance companies, public and private companies and individuals being examined, investigated or sued by the United States Securities and Exchange Commission (SEC), the Financial Industry Regulatory Authority (FINRA), other SROs and state and federal regulators. In addition to his regulatory defense work, Matt counsels many RIAs and industry representatives on transitions within the RIA space, including the analysis and applicability of restrictive covenants and their role in the transition strategy.



Terrence Fleming, Esq. represents parties nationally in commercial fraud cases, including shareholder derivative and class actions, merger and acquisition litigation, SEC, FINRA and state regulatory proceedings, investor broker and law firm disputes, minority shareholder disputes and securities arbitrations. He also has considerable experience representing receivers, trustees and victims of Ponzi schemes.

Terry has completed more than 100 jury and court trials, arbitrations and regulatory proceedings around the country. He has assisted lawyers in malpractice actions and disciplinary proceedings. Terry has also worked as an arbitrator, mediator, expert witness, and as a member of, and counsel to, special litigation committees.



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The Honorable Thomas S. Fraser Appointed in 2014, by Governor Mark Dayton, Hennepin County District Court Judge Thomas S. Fraser has 30-years of practice, 25 years as a neutral, and played a significant role in the management of Fredrikson & Byron. His background includes: Civil trial practice, shareholder and partnership litigation, franchise, directors' and officers' liability, insurance coverage, medical malpractice and other health care disputes, family business disputes, and employment cases, including non-competition agreements, trade secret cases, and other business torts. An arbitrator, mediator, and special master for over 20 years, he has mediated or arbitrated over 600 cases and been appointed by state and federal courts as special master, referee, receiver, mediator, and arbitrator. He has served as a neutral in contract, securities, personal injury, products liability, malpractice, employment, trusts/estate, shareholder, and real estate disputes at the American Arbitration Association, U.S. Arbitration and Mediation, and the International Institute for Conflict Prevention & Resolution (CPR). He has also trained other neutrals for AAA, U.S. Arbitration and Mediation, and MCLE. Judge Fraser serves as a pro-bono lawyer for numerous organizations and clients, ranging from Louisiana death-penalty cases to domestic-abuse cases and juvenile-court proceedings for foster children. He is a graduate of Harvard Law School, J.D., 1976, and the University of Minnesota, B.A., Economics, 1973.



George H. Friedman, Esq. is Chairman of the Board of Directors of Arbitration Resolution Services, Inc. and an ADR consultant, retired in 2013 as FINRA's Executive Vice President and Director of Arbitration, a position he held from 1998. In his extensive career, he previously held a variety of positions of responsibility at the American Arbitration Association, most recently as Senior Vice President from 1994 to 1998. He is an Adjunct Professor of Law at Fordham Law School. Mr. Friedman serves on the Board of Editors and is a Contributing Legal Editor of the Securities Arbitration Commentator. He served as secretary of the Securities Industry Conference on Arbitration for over a decade. He is also a member of the AAA's national roster of arbitrators, several bar associations, and the Securities Experts Roundtable. He holds a B.A. from Queens College, a J.D. from Rutgers Law School, and is a Certified Regulatory and Compliance Professional. He is admitted to practice in New York, New Jersey, several U.S. District Courts, and the United States Supreme Court.

Jack Herrmann graduated from Phillips Academy in Andover, MA and from Washington and Lee University in Lexington, VA where he earned a Bachelor of Science degree with special attainments in Business Administration. For approximately sixteen (16) years Mr. Herrmann has been assisting Attorneys as a Consultant and testifying Expert involving approximately two hundred (200) securities and investment-related cases of all types before FINRA arbitration hearings, in federal and state court and before the SEC and state securities commissions. In addition, he is active as a FINRA-trained and approved neutral Mediator and Arbitrator.

Mr. Herrmann works with Defense Attorneys and Plaintiff Attorneys, evaluating cases, participating in settlement negotiations and mediations, and testifying. Clients include Registered Investment Advisory firms, broker-dealer firms, banks, Investment Advisor Representatives, brokers, professional groups and business owners, individual investors and families, estates, Trusts, bankruptcy Trustees, court-appointed Receivers, corporate benefit plans, class actions and others. Jack Herrmann has over thirty (30) years of experience in the investment business, including serving clients as a broker, Portfolio Manager and founder of a Registered Investment Advisory firm. His managerial assignments included serving as Branch Manager, Resident Managing Officer and a Manager of Branch Administration.



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Phyllis Karasov, Esq. advises businesses on labor and employment matters. Her clients come from a variety of sectors, including construction, manufacturing, higher education, K-12 private education, nonprofit and healthcare. She provides counsel in all areas of human resources, including hiring, handbooks, regulatory compliance, discrimination, sexual harassment, discipline and termination, Americans with Disabilities Act, OSHA rules and the Family and Medical Leave Act.

As a former National Labor Relations Board attorney, Phyllis is often called upon to represent clients in labor union matters including arbitrations, collective bargaining agreements and union contracts. In higher education, Phyllis is an experienced and trained investigator of Title IX complaints. Phyllis has substantial experience drafting, interpreting and enforcing noncompetition agreements, confidentiality agreements, and separation agreements. She also has deep experience developing and drafting employee handbooks and other types of employment documents and policies. She often represents clients before administrative agencies and in state and federal courts.



David Keogh is President of DJK Consulting LLC. He has worked in the securities industry for 32 years, most recently as the Director of Compliance at LifeMark Securities Corporation a nationally registered broker/dealer and SEC registered RIA. DJK Consulting provides expert witness consulting and testimony at arbitrations or mediations. Additionally, DJK Consulting provides consulting and recruiting services to many of the largest networks of independent broker dealers and insurance agencies nationwide.

Mr. Keogh has provided consultation or testimony in matters involving; Compliance Audits, Churning, Failure to Supervise, Employment, Misrepresentation, Mutual Funds, Options, Restricted Securities, Sales Practice Violations, Fraud, Branch Supervision, Breach of Fiduciary Duty, Suitability, Concentration, Selling away, Margin, Compliance Manuals, Policy and Procedure Manuals, FINRA and SEC Regulations, Private Placements, 1031 Exchanges, Elder abuse, and Unauthorized trading. He has obtained the Series 4, 7, 8, 63 & 65 securities licenses, the NY/NJ Health/Life and Accident Agent Licenses, and the Global Financial Steward Certification during his career. David has been a member of SER since 2007, Director since 2013, currently serving on the Membership Committee, Co-chair of the Public Relations committee and is the 2019 President Elect. He has served as First Vice President, Executive Committee Board of Trustees at The Anderson House a nonprofit dedicated to providing quality rehabilitative treatment to women in Whitehouse Station, NJ since 2010. He also provides pro bono expertise and advice to Cornell and Seton Hall Law Clinics.



Patricia Koetting has 34 years experience providing statistical analysis of investment accounts for securities attorneys and expert witnesses on behalf of claimants and respondents. She has been retained in over 2,000 cases analyzing well over 5,000 accounts. Her area of expertise is account analysis and damage calculations on investments including stocks, bonds, options, mutual funds, annuities, REITs, structured products and commodities. Prior to setting up private practice, Patricia worked at Smith Barney where she was hired to set up the account analysis division within the firm's legal department. She graduated cum laude from NYU Stern School of Business

with a Bachelor of Science in Finance and International Business. Patricia is a former board member for SER, having served as President and Treasurer. She currently serves as Controller of the organization.



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James (Jim) K. Langdon, Esq. is a veteran trial lawyer who understands the business of his financial service provider and public company clients. He helps them resolve difficult disputes with shareholders, regulators and competitors by using creative, cost-effective strategies and, when necessary, taking cases to trial and winning. Jim has more than 30 years of experience representing public companies, banks, mortgage lenders, insurance companies, investment banks, and broker-dealers in litigated disputes in federal and state courts as well as before regulatory agencies, particularly the SEC.

Jim is a Fellow of the American College of Trial Lawyers and has extensive first-chair trial experience in federal and state courts, as well as in arbitration forums (including FINRA, AAA and UNCITRAL) and before regulatory agencies. He is co-Head of the Class Action Practice Group. His practice focuses on all aspects of financial services litigation, including class actions, shareholder derivative actions, claims related to mortgage-backed securities, securities arbitrations (customer and intra industry), tender offer defense and regulatory investigations and enforcement actions.



Keith Loveland, JD operates Loveland Consulting, a boutique law firm. During the time he was a registered person, Keith held the Series 3, 4, 5, 7, 8, 9, 10, 15, 24, 27, 53, 63, 65 and 66 licenses and served as a chief compliance officer, chief legal officer, chief operations officer, chief financial officer, and Chairman of the Board for various broker-dealers and investment advisers. His industry service includes being Special Consultant to the Securities Division, Minnesota Commerce Department, 2017-2018. He currently serves on the NASAA Series 63/65/66 Item Development Committee, and previously served on the NYSE Series 7 Committee from 1983 to 2001. Keith has authored and co-authored materials on Cybersecurity, Fiduciary Duty, and Privacy, and is Adjunct Professor for the Center for Fiduciary Studies.



Colin T. Nelson, Esq. grew up in a small town in Southern Minnesota. He has worked as both a prosecutor and public defender for over 30 years where he's seen cases that could never be used on reality TV--they're too real; no one would believe them! His books are "page turners" and he wants to teach his readers something new in every story.

His latest book is "The Inca Code," which is the second in the Pete Chandler series. In this book, he chases criminals to Machu Picchu. In the first story, "Up Like Thunder," Pete goes to the closed and exotic country of Myanmar in SE Asia as he searches for a missing woman. In "Flashover," you'll meet Zehra, a young prosecuting lawyer who gets into more danger than any other lawyer. Read about her in Colin's previous books, "Fallout"

(Nominated for the Minnesota Book Awards) and "Reprisal." Or check out, "The Amygdala Hijack." Defense lawyer, Ted Rohrbacher takes on an impossible cases---and it almost kills him in the process.

Colin has also written a financial handbook called, "When Can I Tell My Boss, I Quit!" When not writing you'll find him playing a tenor sax in a jazz group called, "BlueMood" and the music of Bob Dylan with a rock band.



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Stuart Ober is the president of Securities Investigations, Inc., a New York area based due diligence, investment consulting, and expert witness firm. A former manager of a number of Wall Street tax-investment departments, Mr. Ober has served as an investment professional for over 40 years, and an expert (for plaintiffs and defendants) since 1980. Areas of expertise include due diligence, fraud, Ponzi schemes, private placements, real estate, oil and gas, selling away, fiduciary issues, suitability, and fraud. Mr. Ober has served as an expert witness in 50 Ponzi scheme matters, including serving as an expert witness in the Bernard Madoff matter. Mr. Ober served as a member of the Financial Products Standards Board of the Institute of Certified Financial Planners, and as a consultant to the U.S. Department of the Treasury – Internal Revenue Service, and the State of New Jersey. He is the External Commentator of "Prudent Practices for Investment Advisors" and "Prudent Practices for Investment Stewards," and is a FINRA arbitrator (Chairperson) and a Certified Mediator. Mr. Ober was President of a Registered Investment Advisory firm and President of a Publicly-Traded Company.



Scott Smith, JD is the CEO and President of FactRight, LLC. He joined the firm in 2012 as the Chief Operating Officer, and was promoted to the role of CEO/President in 2014. Scott is passionate about the company's strategic direction and the relationships needed to achieve the firm's goals. He's avid about growing FactRight as a firm with enduring value by creating great customer experiences.

Scott brings a unique background to the firm, having worked in legal roles, commercial real estate companies and financial services firms ranging in size from 100 advisors to 9000 advisors. He has recently developed an insatiable appetite to learn more about evolving digital and content marketing trends, and how these changes enable companies to develop connections with an audience in ways unheard of even 20 years ago. Leaving a Fortune 500 company to become a partner of a 15-person company gave Scott the understanding of the challenges and benefits of being a small business owner. Scott and the FactRight team have become much more resourceful as a company over the past few years, primarily by helping clients become more resourceful as well. Recently, FactRight built an online publication system Scott is proud to share has reached 300 subscribing firms, a great milestone for the company.



Thomas Taliaferro is a Financial advisor/portfolio manager with over 30 years' professional experience including serving as Senior Vice President for both Morgan Stanley and Wells Fargo Advisors. Very experienced with high net worth and ultra-high net worth investors. Extensive supervisory experience including managing a branch complex of 55 financial advisors with in excess of \$4 billion of assets under management. Experience with numerous financial advisor employment issues at broker/dealers. Spotless compliance record. Accomplished public speaker. FINRA Dispute Resolution Arbitrator. Certified Investment Management Analyst. Accredited Investment Fiduciary. Experienced expert witness in AAA, FINRA and superior court venues and deposition.

Member of the Securities Experts Roundtable.



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Ross Tulman is the Senior Partner of Trade Investment Analysis Group in Columbus, Ohio, providing expert witness services to counsel engaged in securities arbitration and litigation. Mr. Tulman has been an active participant in the dispute resolution process for twenty-five years. He began his career as an expert witness after the 1987 stock market crash. He has been retained to consult and testify regarding the full spectrum of issues frequently contested in the financial services industry including profit and loss analysis, damages, churning, suitability, standards and practices, misrepresentations/omissions, supervision and compliance. He has provided testimony in both state and Federal court, and in arbitrations before FINRA, other SRO fora, AAA, and JAMS. He is one of the few experts who is routinely consulted and retained on behalf of both claimants and respondents. He has appeared in numerous high profile interesting and complex matters. Mr. Tulman is an accomplished speaker and author. He serves as an arbitrator for FINRA and the NFA, and occasionally has been retained as a mediator. He is an active member and past officer of the Securities Experts Roundtable. Mr. Tulman earned a BA in English from Emory University and an MBA in Tax and Finance from Xavier University. He is an SEC registered investment adviser.



Michael D. Weiner recently retired after years of service to the financial services industry as a governmental and private attorney, a legal and compliance executive in the Chicago futures and options exchange world, as a brokerage house founder, and for the last many years, as a full-time consultant and expert witness assisting counsel in the complex world of financial litigation. Working as an expert witness, he saw the good, the bad, and the ugly in his counterparts, and from that experience, to aid both aspiring experts and their counsel, *In My Expert Opinion* was born. The desire was to train experts in the positive aspects of expert witness work, to point out the pitfalls, and to provide a roadmap to a successful career.

Now retired, he still travels extensively, but now instead of hotels and courtrooms in Minneapolis, Rochester and Pittsburgh, he enjoys scuba in the Maldives, Roatan, and Palau. Instead of late nights working with counsel in Boca Raton, Sacramento, Pocatello, and San Antonio, he visits his children and grandchildren in Brooklyn, San Francisco, Philadelphia, and St. Louis.



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Attendees

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Securities Experts Roundtable

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Attendees

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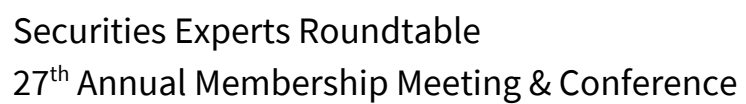
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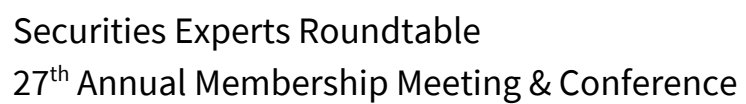
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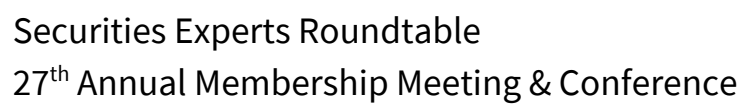
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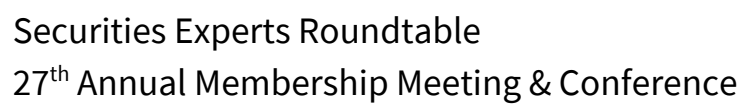
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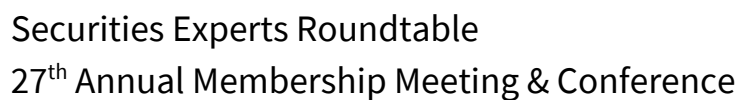
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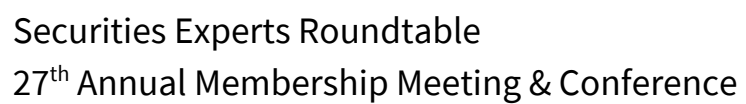
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Suggestions

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UPCOMING EVENT

28TH ANNUAL MEETING & CONFERENCE
SUMMER 2020
TBD



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