



**SECURITIES EXPERTS ROUNDTABLE
LIST OF PRO BONO VOLUNTEERS FOR LEGAL CLINICS**

Full Name	Case analysis: General help on strengths and weaknesses.	Loss and Damage Calculations.	Expert testimony (depends on the subject matter).	Lecturer: Topics identified by the clinic.	Panels: Topic and roles identified by the clinic or sponsoring organization.	Please list the general areas of expertise in which you would be available to consult and testify pro bono.
Charles L. Bennett				Yes	Yes	Federal and state securities laws and SRO rules and Regulations
Alan Besnoff	Yes		Yes	Yes	Yes	Suitability and Supervision, Annuities, Life Insurance, Violations of Industry and/or CFP Standards, Breach of Duty, Misrepresentations & Material Omissions
Peter Bulger	Yes	Yes		Yes	Yes	Broker-dealer and Investment Advisory structure; clearing firm, institutional market and prime brokerage; operations, finance and supervision.
Kerry Campbell	Yes	Yes	Yes	Yes	Yes	Suitability, Investment Due Diligence, Portfolio Construction, Risk Mangement, Suitability, Damages.
Paul Carroll	Yes		Yes	Yes	Yes	Financial services operations, margin, procedures and controls.
Jerry DeNigris	Yes	Yes	Yes	Yes	Yes	suitability, damages, mark ups
John Foster	Yes		Yes	Yes	Yes	broker-dealer operations and compliance; industry infrastructure
George Friedman				Yes	Yes	Expert on FINRA Disoute Resolution rules and internal procedures
Ronald E Heakin	Yes	Yes	Yes	Yes	Yes	Supervision, suitability and damages
Jeff Holik	Yes		Yes		Yes	FINRA Rules, Retail Securities Sales Practices, Supervision, Employment Matters
Robert Jones	Yes	Yes	Yes	Yes	Yes	Damage Calculation, Expert Testimony, Case Analysis, Arbitration Process and Procedures
David Keogh	Yes				Yes	Supervision
Patti Koetting	Yes	Yes	Yes	Yes	Yes	P&L and other analytical analysis; Damages calculations.



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Dan MacIntyre	Yes	Yes	Yes	Yes	Yes	I did arbitrations as an attorney-advocate for both sides for 40 years and serve as an arbitrator. I have probably seen and understand at the level that would be helpful to these students just about any issue that is likely to appear at a small dollar arbitration.
Hollie Mason	Yes		Yes	Yes	Yes	Investor protection, broker-dealer custom and practice, securities regulation, securities industry ethics and supervisory responsibilities....anything remotely related to securities
Stuart Ober	Yes			Yes	Yes	Fiduciary Responsibilities, Fraud, Suitability, Investment Advisory Issues
Gontran de Quillacq				Yes		Alternative & quantitative investments
John Richard	Yes	Yes	Yes	Yes	Yes	Financial services, fixed income markets, investment suitability, damages analysis, trading, credit research, portfolio management
Richard Sandow	Yes	Yes	Yes	Yes		Customer complaints. Supervision. Damage analysis.
Rob Spawn	Yes		Yes		Yes	retail wealth management and fiduciary matters
Tom Taliaferro	Yes		Yes		Yes	any aspect of retail brokerage; fiduciary duty; asset allocation/suitability
Ross Tulman	Yes	Yes	Yes	Yes	Yes	Standards of Care b/d and RIA; Damages
Gordon Yale	Yes	Yes	Yes	Yes	Yes	Adequacy of disclosure and due diligence, both for BDs and RIAs.

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