

Hollie Mason has more than 14 years of financial industry experience, involving securities litigation and regulation.

Prior to joining Brattle she served as senior enforcement counsel at the Financial Industry Regulatory Authority (FINRA), where she was responsible for ensuring that its members complied with FINRA and Securities & Exchange Commission regulatory requirements. Ms. Mason was also a certified FINRA dispute resolution arbitrator for over 10 years. She spent several years as senior in-house legal counsel for a large broker-dealer, where she handled complex litigation and compliance matters, including matters that involved auction rate securities, market manipulation, margin requirements, supervisory systems, and suitability obligations.

Ms. Mason's professional experience involves, among other things, presenting multifaceted securities cases before arbitration panels and regulatory bodies, determinations of compliance and causation, rule interpretation, market and trading analysis, and risk assessment. Given her unique experience, Ms. Mason provides expert testimony and analysis as well as consulting services concerning securities markets and regulation, regulatory compliance and risk management.

EDUCATION

Juris Doctor, Creighton University School of Law
Masters of Science, Creighton University

PROFESSIONAL EXPERIENCE

The Brattle Group

Senior Securities and Litigation Consultant

May 2019 – Current

Providing expert testimony and analysis as well as consulting services concerning securities markets and regulation, involving Broker-Dealers, Analysis of Market Manipulation, Market Data & Document Analytics, Financial Services Compliance and Risk Management, and Regulatory Enforcement.

Municipal Securities Rulemaking Board (MSRB)

Assistant General Counsel, Department of Market Regulation

January 2019 – April 2019

Responsible for drafting, revising, and interpreting MSRB rules and regulatory guidance. Assisted in drafting proposals to amend regulatory requirements, involving primary offering and syndicate practice rules and regulations.

Financial Industry Regulatory Authority (FINRA)

Senior Counsel, Department of Enforcement

October 2015 – January 2019

Provided guidance on regulatory reviews, investigations, and examinations. Assisted in investigating member conduct for purposes of determining violations of SEC, FINRA, MSRB, and Exchange rules specific to market regulation. Assisted in trading and market data reviews and analysis.

Represented the FINRA Department of Enforcement in regulatory matters, including informal and formal disciplinary actions.

TD Ameritrade Holding Corporation

Senior In-House Counsel (Broker-Dealer)

December 2009 – September 2015

Litigated complex securities and arbitration matters. Provided legal guidance to retail, institutional, and clearing firm business units. Negotiated settlements involving industry and customer disputes. Engaged and consulted with outside counsel and experts to resolve legal matters. Assisted in the development of and actively managed the firm's eDiscovery and legal hold programs.

Financial Industry Regulatory Authority (FINRA)

Dispute Resolution Arbitrator

January 2006 – October 2015

Assisted in the efficient resolution of monetary and business disputes between and among investors, brokerage firms and individual brokers in the securities industry, and served member firms and investors by way of hearings and deciding disputes submitted to FINRA for resolution.

QA3 Financial Group LLC

Chief Operating Officer

November 2007 – December 2009

Oversaw the day-to-day operations of the firm's investment advisory business, which included auditing remote branch office locations for purposes of identifying potential regulatory or operational perils. Developed systems for responding to regulatory and customer inquiries. Implemented multiple compliance systems, whereby reducing the firm's regulatory and operational risks.

PROFESSIONAL AFFILIATIONS

- Licensed to practice law in Nebraska and Iowa
- Admitted to practice law before the United States Supreme Court
- Securities Experts Roundtable participant
- Member of FINRA Alumni Network
- Corporate & Securities Law Group participant
- Financial Regulatory Law Group participant
- Member of Securities Risk, Regulation & Reporting Practice Group