

Robert W. Lowry

RL Consulting Services, Inc
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Qualifications Summary

Thorough knowledge of the federal securities laws and regulations, accounting practices, capital formation, and the customs and practices of the securities industry. Proficient in examining and investigating broker dealer activities and investment advisers; inspecting the activities of Self-Regulatory Organizations; making effective oral and written presentations; analyzing complex financial records and transactions; conducting internet research; investigating illegal broker dealer activities; analyzing and calculating markups and markdowns; and using a personal computer to prepare detailed trading schedules and other exhibits.

Employment History

RL Consulting Services Inc. President • May 1996 to Present

- Since May 1996, I have been president of RL Consulting Services, Inc, which is located outside of Washington DC in Leesburg, VA.
- I have more than 50 years of experience in the securities industry – including the 23 years when I worked for the Securities and Exchange Commission in the Division of Market Regulation. While working at the SEC, I was responsible for conducting **regulatory examinations** and participating in **enforcement investigations**.
- My SEC work experience has provided me with the knowledge, training and experience for understanding how broker dealers must comply with securities laws and regulations. My clients have included public companies, public investors, broker dealers, investment advisers, state and federal (SEC) regulatory agencies

and the Department of Justice.

- I have been qualified in court and arbitration hearings for cases involving best execution, market manipulation, supervision of broker dealers and investment advisers, sales practices, suitability, churning, damages, clearing firm liability and selling away.
- I have been retained in over 800 matters ranging from securities arbitration, state and federal regulatory proceedings, state and federal criminal and civil court proceedings, as well as compliance related audits for broker dealers and investment advisers.
- I have appeared in federal court (criminal and civil) on more than 50 occasions since 1996 and qualified to offer opinions as an expert in market manipulation, suitability, churning, supervision and insider trading.
- I have published articles which addressed the subjects of supervision and best execution for the Practicing Law Institute and the Public Investors Arbitration Bar Association and have appeared on Bloomberg Television. He is recognized as an expert in the field of federal securities laws and regulations, accounting practices, capital formation and the customs and practices of the securities industry.

**Prudential Insurance Company of America, Newark, NJ
Director, Corporate Compliance Dept • May 1995 to May 1996**

- I was responsible for assessing securities compliance of Prudential's largest broker dealer, Pruco Securities Corporation.
- I evaluated the adequacy of the supervisory system, branch office inspection program, training initiatives and compliance with Prudential's written supervisory procedures.
- I recommended and implemented appropriate corrective action when needed.

- I conducted sensitive investigations and branch office inspections to identify systemic weaknesses in the compliance structure and to respond to regulatory inquiries.

Securities and Exchange Commission, Washington, DC
Senior Accountant, Market Regulation • January 1972 to May 1995

- I evaluated the SEC's broker dealer examination program and the SEC inspections of self-regulatory organizations (NASD, NYSE, and AMEX).
- I conducted more than 250 broker-dealer examinations, inspected the activities of self-regulatory organizations ("SROs").
- I analyzed complex financial records and securities transactions, made detailed written and oral reports of findings, and prepared damage calculations to support my report findings.
- I maintained routine contact with SEC regional office personnel to recommend broker dealer examination priorities and resolve examination issues and advised staff on complex regulatory matters.
- I consulted with the Division of Enforcement and the Office of General Counsel on markup cases considered by the Commission.
- I worked with the Division of Enforcement on investigations and litigation matters – which included taking testimony, analyzing trading data, preparing schedules and analyzing complex securities transactions.
- I testified on behalf of the SEC in federal court on three occasions (SEC v. First Jersey Securities, SEC v. Thomas James and U.S. v. Eric Wynn). I was qualified at trial as an expert in markups, over-the-counter trading and damages.

Education

University of Maryland, College Park, MD,
B. A. Business Administration, 1976

Publications

- The Elements of Best Execution,
Practicing Law Institute, 2001
- How “Red Flags” May Prove Supervision Cases,
Public Investors Arbitration Bar Association, 2002
- Selling Away in a Supervised Environment,
Public Investors Arbitration Bar Association, 2004
- Representing Claimants in Broker Theft Cases,
Public Investors Bar Association, 2010

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List of Cases - 4/17/2023

Year	Venue	Case Name	Proceeding	Party	Subject	Appearance
2002	1	Alpha Capital v. Group Management	USDC SDNY 1:02-cv-2219 (LBS)	Defendant	Market Manipulation	Declaration
2012	1	Anchor Bank v. Hofer	USDC WDVI 3:09-cv-00610	Defendant	Market Manipulation	Expert Report, Deposition
2013	1	Barbachano v. Standard Chartered	USDC SDNY 1:11-cv-03553	Plaintiff	Suitability	Deposition
2012	1	Barbachano v. Standard Chartered	USDC SDNY 1:11-cv-03553	Plaintiff	Suitability	Expert Report
1998	1	Bishop v. Merrill Lynch	USDC Birmingham AL	Plaintiff	Supervision	Deposition
2002	1	Black v. Finantra	USDC SDNY 1:01-cv-76819 (JSR)	Plaintiff	Market Manipulation	Trial Testimony
1998	1	BNP v. American Entertainment Group	USDC Bankruptcy, Baltimore, MD	Plaintiff	Market Manipulation	Trial Testimony
2003	1	Boland v. A. G. Edwards	USDC SDIL 3:01-cv-00176 (GBC)	Plaintiff	Rule 144	Trial Testimony, Expert Report
2018	1	Caldwell v. Vantage Benefits	USDC 3:17-cv-3459	Plaintiff	Damages	Expert Report
2000	1	Corsair v. Wedbush	USDC LA 8:99-cv-00470 AHS	Defendant	Market Manipulation	Trial Testimony
2006	1	Fortunet, Inc. v. Melange Computer Services	USDC, District of NV 2:04-cv-01448 (PMP)	Plaintiff	Disclosure	Expert Report
1999	1	Grider v. Merrill Lynch	USDC Birmingham AL	Plaintiff	Supervision	Deposition
2000	1	Hemispherx Biopharma v. Asensio & Co	USDC Philadelphia, PA	Plaintiff	Short Selling	Expert Report
2005	1	In the Matter of Genesis Intermedia	USDC District of MN 03-cv-03471 (AJB)	Plaintiff	Supervision	Expert Report, Deposition
2009	1	Last Atlantis v. AGS Specialist Partners	USDC NDIL 1:04-cv-00397	Plaintiff	Option Order Handling	Expert Report Deposition
2014	1	Last Atlantis v. AGS Specialist Partners	USDC NDIL1:04-cv-00397	Plaintiff	Best Execution	Expert Report, Deposition
2009	1	Levitt v. Bear Stearns	USDC SDNY 1:99-cv-02789 (MDL)	Plaintiff	Clearing Firm Liability	Expert Report, Deposition
2016	1	Millman v. Questar Capital	USDC District of MD 1:15-cv-00894	Plaintiff	Suitability, Supervision	Expert Report
1998	1	Mishkin v. Ensminger et al	USDC SDNY 1:97-bk-08423	Defendant	Clearing Firm Liability	Trial Testimony, Expert Report
2009	1	O'Riordan v. US Trust	USDC EDVA 1:09-cv-00753 (LO)	Plaintiff	Suitability, Prudent Investor Rule	Deposition, Expert Report
2010	1	Premier v. Bank of America	USDC District of AZ 09-cv-02265-(PHX) (FJM)	Defendant	Market Manipulation	Expert Report
2008	1	SEC v. Absolutefuture.com	USDC SDNY 1:01-cv-09058 (DAB)	Plaintiff	Market Manipulation, Damages	Affidavit
2010	1	SEC v. AFTI (Geiger)	USDC District of CO 10-cv-00128 (DME)	Plaintiff	Market Manipulation	Expert Report, Declaration
2019	1	SEC v. Almagarby	USDC SD FL 17-62255-cv-Cooke	Plaintiff	Broker Dealer Registration, Underwriters	Expert Report, Deposition
2020	1	SEC v. Almagarby	USDC SD FL 17-62255-cv-Cooke	Plaintiff	Broker Dealer Registration, Underwriters	Declaration
2019	1	SEC v. American Growth Funding II	USDC SDNY 1:16-cv-00828	Plaintiff	Supervision	Testimony
2017	1	SEC v. American Growth Funding II	USDC SDNY 1:16-cv-00828	Plaintiff	Supervision	Expert Report, Deposition

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1997	1	SEC v. Andrew Pitt	USDC LA 2:96-cv-04164 (MRP)	Plaintiff	Market Manipulation	Trial Testimony, Expert Report
2008	1	SEC v. Berlacher	USDC EDPA 2:07-cv-03800 (MSG)	Plaintiff	Short Selling, Insider Trading, Damages	Expert Report
2012	1	SEC v. Big Apple Consulting USA	USDC MDL 09-cv-01963	Plaintiff	Due Diligence, BD Registration	Trial Testimony
2010	1	SEC v. Big Apple Consulting USA	USDC MDL 09-cv-01963	Plaintiff	Due Diligence, BD Registration	Expert Report, Deposition
2007	1	SEC v. Boutraille	USDC SDNY 1:05-cv- 09300 (GBD)	Plaintiff	Insider Trading, Options	Declaration, Expert Report
2016	1	SEC v. Caledonian Bank	USDC SDNY 1:15-cv-00894	Plaintiff	Supervision	Expert Report
2007	1	SEC v. Cameron (Jessop)	USDC SDNY 1:05-cv-10115 (PAC)	Plaintiff	Market Manipulation	Expert Report
2007	1	SEC v. CTT	USDC District of CT 3:04-cv-01331 (JCH)	Plaintiff	Market Manipulation	Expert Report, Deposition, Testimony
2017	1	SEC v. Dynkowski	USDC 1:09-cv-361 (GMS)	Plaintiff	Market Manipulation	Expert Report, Deposition
2011	1	SEC v. Exotics	USDC District of NV 2:05-cv-00531 (PMP)	Plaintiff	Market Manipulation	Trial Testimony
2006	1	SEC v. Exotics	USDC District of NV 2:05-cv-00531 (PMP)	Plaintiff	Market Manipulation	Expert Report
2014	1	SEC v. Garber	USDC SDNY 1:12-cv-09339	Plaintiff	Unregistered Secs	Expert Report, Deposition
2006	1	SEC v. Gregory Brady	USDC, NDTX 3:05-cv-01416-D (SAF)	Plaintiff	Damages	Expert Report
2005	1	SEC v. Investment Technology	USDC NDTX 3:03-cv-00831 (KJD)	Plaintiff	Market Manipulation	Expert Report
2005	1	SEC v. James Franklin	USDC SDCA 3:02-cv-00084 (DMS)	Plaintiff	Market Manipulation	Summary Witness
2002	1	SEC v. Jerome Rosen	USDC SDFL 1:01-cv-00369 (DMM)	Plaintiff	Market Manipulation	Trial Testimony, Expert Report
2002	1	SEC v. Kfir Barzilay	USDC NDIL 1:99-cv-05023	Plaintiff	Suitability, Churning	Expert Report
2006	1	SEC v. Lancer Group (Michael Lauer)	USDC SDFL 9:03-cv-80612 (KAM)	Plaintiff	Market Manipulation	Expert Report, Declaration
1998	1	SEC v. Leonard Greer	USDC SDNY 1:97-CV-07267 (MP)	Plaintiff	Market Manipulation	Expert Report, Deposition
2008	1	SEC v. Lyons	USDC SDNY 1:06-CV-14338 (SHS)	Plaintiff	Short Selling, Damages	Expert Report
2009	1	SEC v. Lyons	USDC SDNY 1:06-CV-14338 (SHS)	Plaintiff	Short Selling	Deposition
2006	1	SEC v. Moises Saba Masri	USDC SDNY 1:04-cv-01584 (RJH)	Plaintiff	Market Manipulation	Expert Report
2022	1	SEC v. O'Brien	USDC SDNY 1:21-cv-09575(DLC)	Plaintiff	Market Manipulation	Expert Report, Deposition
2007	1	SEC v. Packetport	USDC District of CT 3:05-cv-01747 (JCH)	Plaintiff	Market Manipulation	Expert Report
2007	1	SEC v. Pasternak	USDC District of NJ 1:05-cv-03905 (JAP)	Defendant	Supervision	Expert Report
2010	1	SEC v. Regency	USDC District of CO 09-cv-00497 (DME)	Plaintiff	Market Manipulation	Deposition (Summary Witness)
2000	1	SEC v. Richard Bertoli	USDC SDNY 1:85-cv-07072 (LBS)	Plaintiff	Market Manipulation	Expert Report

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2010	1	SEC v. Robert Berlacher	USDC ED PA 07-cv-03800 (ER)	Plaintiff	Insider Trading	Expert Report, Trial Testimony
2000	1	SEC v. Schiffer	USDC SDNY 1:97-cv-05853 (RO)	Plaintiff	Market Manipulation	Expert Report
2007	1	SEC v. Simmons	USDC MDL 8:04-cv-02477 (MAP)	Plaintiff	Market Manipulation	Expert Report
1999	1	SEC v. Simon Rosenfeld	USDC SDNY 1:97-cv-01467 (WHP)	Plaintiff	Market Manipulation	Expert Report
2002	1	SEC v. US Environmental	USDC SDNY 1:94-cv-06608 (PKL)	Plaintiff	Market Manipulation	Trial Testimony, Expert Report
2000	1	SEC v. Vigue	USDC Portland, ME	Plaintiff	Market Manipulation	Expert Report
2008	1	SEC v. Wamex	USDC SDNY 1:01-cv-09058 (DAB)	Plaintiff	Market Manipulation, Damages	Affidavit
2006	1	SEC v. Whitemore	USDC DC 1:05-cv-00869 (RMC)	Plaintiff	Market Manipulation	Expert Report, Declaration
2011	1	SEC v. Williams	USDC ND of TX 3:10-cv-1068	Plaintiff	Market Manipulation	Expert Report
2005	1	SEC v. Wolfson	USDC, District of Utah 2:02-cv-01086 (CW)	Plaintiff	Market Manipulation	Expert Report
2007	1	SEC v. Yaroshinsky	USDC SDNY 1:06-cv-02401 (CM)	Plaintiff	Insider Trading	Expert Report
2009	1	Stern v. Charles Schwab	USDC District of AZ 2:09-cv-01229 (DGC)	Plaintiff	Supervision, Money Laundering, Ponzi Scheme	Expert Report
2006	1	Telco v. Ameritrade	USDC, District of NE 8:05-cv-00387 (JFB)	Plaintiff	Best Execution	Expert Report, Deposition
2002	1	Transcontinental Realty v. Gotham Partners	USDC SDNY 1:01-cv-06782 (MP)	Plaintiff	Section 16B	Expert Report
2003	1	US v. Kelly	USDC SDFL 1:02-cr-20473 (CMA)	Plaintiff	Market Manipulation	Trial Testimony
2011	1	US v. Fan	USDC Western District of WA	Defendant	Damages	Declaration
2005	1	US v. Frank Skelly	USDC SDNY 1:02-cr-00986 (RMB)	Defendant	Damages	Expert Report
2015	1	US v. Fred Montano	USDC EDPA 2:13-cr-00082	Defendant	Damages	Expert Report
2011	1	US v. Gushlak	USDC EDNY 1:03-cr-00833 NGG	Defendant	Damages	Expert Report
2012	1	US v. Gushlak	USDC EDNY 1:03-cr-00833 NGG	Defendant	Damages	Trial Testimony
2000	1	US v. Kensington Wells	USDC EDNY 0:99-cr-00697 LDW	Plaintiff	Market Manipulation	Trial Testimony
2000	1	US v. McClendon et al.	USDC NDGA 1:99-cr-00462 ODE	Plaintiff	Excessive Trading, Damages	Trial Testimony
2018	1	US v. Murray Huberfeld	USDC SDNY 16-CR-0467 (AKH)	Defendant	Hedge Fund Red Flags	Expert Report
2002	1	US v. Pappas	USDC SDNY 1:01-cv-01033 (DAB)	Defendant	Damages	Expert Report
1999	1	US v. Robert Landau	USDC SDNY 1:97-cv-05912 (SHS)	Plaintiff	Market Manipulation	Expert Report
2001	1	West v. Prudential Secs	USDC SDIL 3:99-cv-00567 (GPM)	Plaintiff	Market Manipulation	Expert Report
2003	2	Alcala v. Bear Stearns	Circuit Court, Cook County, IL	Movant	Clearing Firm Liability	Expert Report

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2020	2	Banco Popular v. Trinidad	PR District Court	Defendant	Suitability	Expert Report
2015	2	Bromwell v. Signator	Circuit Court of MD for Dorchester County	Plaintiff	Suitability	Expert Report
2013	2	Christiansen v. Wachovia	SC State Court	Plaintiff	Suitability, Due Diligence	Expert Report
2011	2	Clark v. TD Ameritrade	Circuit Court, Martin County, FL	Plaintiff	Clearing Firm Liability	Affidavit
2018	2	Community Firehouse v. Harvest Financial	Circuit Court for Northampton County Virginia	Plaintiff	Suitability, Supervision	Testimony
2014	2	Crowe v. Entrust	Circuit Court of Cook County, IL	Plaintiff	Supervision	Expert Report, Deposition
2012	2	Erb v. Jonas	Circuit Court, Alexandria VA	Plaintiff	Damages	Expert Report, Deposition, Testimony
2010	2	Griffin v. Albers	Probate Court Dallas TX	Plaintiff	Supervision	Expert Report
2015	2	Hayes v. Morse Capital	Circuit Court of Rockingham County VA	Plaintiff	Supervision, Suitability	Expert Report
2000	2	Haymarket LLC v. D G Jewelry	NY Supreme Court	Defendant	Market Manipulation, Short Selling	Testimony
2002	2	Hemispherx v. Asensio	Pennsylvania Common Pleas Court	Plaintiff	Short Selling	Trial Testimony, Expert Report
2007	2	Hennessy v. Granite	NY Supreme Court	Defendant	Supervision	Affidavit
2016	2	In the Matter of Harold Wood v. Mark Lyons	District Court for Tulsa County - OK	Claimant	Suitability	Testimony
2015	2	In the Matter of Harold Wood v. Mark Lyons	District Court for Tulsa County - OK	Plaintiff	Suitability	Expert Report
2003	2	Klein v. Oppenheimer	District Court of Johnson County, KS	Plaintiff	Clearing Firm Liability	Deposition
2010	2	Lowengart v. Cephus Capital	Circuit Court of Jefferson Co AL 09- 903145	Plaintiff	Suitability	Affidavit
2011	2	McCarty v. MetLife	Circuit Court, Randolph County, WV	Plaintiff	Suitability, Damages	Expert Report
2014	2	McLendon v. Chapman Hext	District Court of Dallas County, TX	Plaintiff	Suitability, Due Diligence	Expert Report, Deposition
2005	2	New Jersey v. Bazarte	Superior Court, Criminal Div (Flemington NJ)	Plaintiff	Conversion, Damages, Trading	Trial Testimony
2019	2	New Jersey v. First Standard Financial	NJ Superior Court Essex County	Plaintiff	Churning, Suitability, Supervision	Expert Report
2012	2	NPC v. Kelleher	Superior Court, Plymouth MA	Defendant	Supervision, Selling Away	Affidavit
2010	2	Ohanessian v. SWAT	Superior Court, Los Angeles CA	Defendant	Disclosure, Market Manipulation	Trial Testimony, Expert Report
2003	2	Ortega v. Paloma	Superior Court, San Diego, CA	Plaintiff	Sale of Unregistered Secs	Declaration
2008	2	Prousalis v. Cohen Milstein	DC Superior Court	Plaintiff	Suitability, Supervision	Expert Report, Testimony
2002	2	Toomey v. Deutsche Bank	Montgomery County MD Circuit Court	Plaintiff	Rule 144	Expert Report
2003	2	Tucker v. Graves	Superior Court Gila County, AZ	Plaintiff	Supervision, Selling Away	Expert Report
2010	2	UBS v. Highland Capital	Supreme Court NY	Defendant	Supervision, Insider Trading	Expert Report, Deposition

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1998	2	Verniero v. Brennan	NJ State Court ESX-C-243-95	Plaintiff	Market Manipulation, Markups	Expert Report
2022	2	Vidal-Quidgley v. Popular Secs	PR District Court	Claimant	Suitability	Expert Report
2011	2	Warfield v. OptionsXpress	Superior Court of the State of Arizona	Plaintiff	Supervision	Expert Report
2014	2	Xybernaut v. Troutman Sanders	Circuit Court of Fairfax County, VA	Plaintiff	Damages, Summary Witness	Deposition
2015	2	Zenker v. Sapere	Circuit Court of Albemarle Co (VA)	Plaintiff	Suitability	Expert Report
2014	3	SEC v. Anthony (McGinn Smith)	SEC Administrative Proceeding	Plaintiff	Due Diligence, Supervision	Expert Report, Trial Testimony
2010	3	SEC v. Bloomfield	SEC Administrative Proceeding	Plaintiff	Supervision	Expert Report, Trial Testimony
2005	3	SEC v. Initio (James Patten)	SEC Administrative Proceeding	Plaintiff	Market Manipulation	Expert Report, Testimony
2015	3	SEC v. Ironridge Global Partners	SEC Administration Proceeding	Plaintiff	Broker Dealer Registration, Underwriters	Expert Report
1999	3	SEC v. Kirk Montgomery	SEC Administrative Proceeding	Defendant	Supervision	Expert Report, Trial Testimony
1996	3	SEC v. Osborne Stern	SEC Administrative Proceeding	Plaintiff	Markups	Consultant
2000	3	SEC v. Richmark	SEC Administrative Proceeding	Plaintiff	Market Manipulation, Disclosure	Expert Report, Testimony
2015	4	AR v. St Bernard	Arkansas Secs Commissioner	Defendant	Suitability	Expert Report, Deposition
1998	4	Continuation of Dennis Milewitz	NASD Proceeding	Defendant	Supervision	Testimony
2011	4	DOE v. David A. Lerner Co	FINRA Enforcement	Defendant	Markups	Testimony
2021	4	DOE v. Wilson Davis	FINRA Enforcement	Defendant	Market Manipulation	Testimony, Expert Report
1999	4	Dynamotive Technologies	NASDAQ Proceeding	Defendant	Market Manipulation, Short Selling	Expert Report
2012	4	FL v. Prime Capital	State of FL, Administrative Hearings	Plaintiff	Misrepresentation, Suitability	Deposition
1997	4	NASD v. Int'l Trading Group	NASD Arbitration	Defendant	Markups	Testimony
2006	4	NASD v. Kenneth Pasternak	NASD Proceeding	Defendant	Supervision	Expert Report
2001	4	NASD v. Pacific Day Trading	NASD Proceeding	Defendant	Advertising	Trial Testimony
2019	4	New Jersey v. Gabriel Block	NJ Bureau of Securities	Plaintiff	Churning	Expert Report
2014	5	Agner v. FSC	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2003	5	Alderdice v. Ferris Baker Watts	NASD Arbitration	Claimant	Suitability, Churning, Supervision	Testimony
2003	5	Allen v. First Union	NASD Arbitration	Respondent	Supervision	Testimony
2017	5	Allen v. Raymond James	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2009	5	Almas Temple v. M&T Secs	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony

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2015	5	Aloise v. Trident Secs	FINRA Arbitration	Claimant	Conversion, Supervision	Testimony
2017	5	Amador v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2016	5	Ames v. RBC	FINRA Arbitration	Claimant	Supervision	Testimony
2005	5	Anderson Trust v. Morgan Stanley	NASD Arbitration	Claimant	Suitability	Testimony
2003	5	Andrews v. Bear Stearns	NASD Arbitration	Claimant	Market Manipulation	Testimony
2003	5	Apprendi v. Merrill Lynch	NYSE Arbitration	Claimant	Suitability, Supervision	Testimony
2015	5	Aukofer v. Baerenz	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2009	5	Azmoun v. Scott & Stringfellow	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2011	5	Baker v. Merrill Lynch	FINRA Arbitration	Claimant	Suitability, Supervision, Communication with the Public	Testimony
2015	5	Banafsche v. Robert Baird	FINRA Arbitration	Respondent	Suitability, Supervision	Testimony
2006	5	Barone v. Carlin	NASD Arbitration	Claimant	Supervision, Selling Away	Testimony
2017	5	Barros v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2006	5	Becker v. Global Crown Capital	NASD Arbitration	Respondent	Suitability	Testimony
2004	5	Bedford v. Morgan Stanley	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2008	5	Belaid v. JMFG	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2013	5	BKR v. Cantella	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2014	5	Blue Bank v. HSBC	FINRA Arbitration	Claimant	Suitability	Testimony
2012	5	Bluegrass v. Santander	FINRA Arbitration	Claimant	Disclosure, Suitability	Testimony
1998	5	Boeche v. Sterling Foster	NASD Arbitration	Claimant	Market Manipulation	Testimony
2012	5	Boyles v. Wachovia	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2009	5	Branch v. United Secs	FINRA Arbitration	Claimant	Due Diligence	Testimony
2000	5	Bridges v. Bear Stearns	NASD Arbitration	Claimant	Clearing Firm Liability, Market Manipulation	Testimony
2005	5	Brown v. Kirlin	NASD Arbitration	Claimant	Market Manipulation,	Testimony
2013	5	Buchanan v. Primerica	FINRA Arbitration	Claimant	Communications with Public	Testimony
2005	5	Buehl v. Legg Mason	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2003	5	Buntemeyer v. Investacorp	NASD Arbitration	Respondent	Supervision, Suitability	Testimony
2012	5	Burgos v. Banco Popular	FINRA Arbitration	Claimant	Suitability	Testimony

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2018	5	Cadilla v. Popular Securities	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2015	5	Cameron Knight v. Calton	FINRA Arbitration	Claimant	Suitability, Supervision	Affidavit
2002	5	Castelein v. Wachovia	NASD Arbitration	Claimant	Supervision and Clearing BD Liability	Testimony
2008	5	Cavaliere v. Morgan Stanley	FINRA Arbitration	Claimant	Supervision	Testimony
2021	5	Cella v. First Republic	FINRA Arbitration	Claimant	Supervision, Suitability	Testimony
2004	5	Chang v. Citigroup	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2012	5	Chickillo v. Raymond James	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2007	5	Circle T v. Banc of America	NYSE Arbitration	Respondent	Supervision, Prime Brokerage	Testimony
2010	5	Citron v. BBVA	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2002	5	Cohen v. Fereydouni	NASD Arbitration	Respondent	Suitability	Testimony
2010	5	Colcolough v. UBS	FINRA Arbitration	Claimant	Suitability	Testimony
2017	5	Conway v. JoycePayne	AAA Arbitration	Claimant	Suitability, Supervision	Testimony
2014	5	Cook v. Crown Capital	FINRA Arbitration	Claimant	Supervision	Testimony
2006	5	Cooper v. Bear Stearns et al.	NASD Arbitration	Claimant	Supervision	Testimony
2012	5	Couturier v. Merrill Lynch	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2002	5	Crosby v. Hampton Porter	NASD Arbitration	Claimant	Suitability, Supervision and Clearing firm liability	Testimony
2017	5	Cummings v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2009	5	Cusack v. Schwab	FINRA Arbitration	Claimant	Suitability	Testimony
2002	5	Daugherty v. Washington Square	NASD Arbitration	Respondent	Supervision, Selling Away	Testimony
2007	5	Deering v. Gunn Allen	NASD Arbitration	Claimant	Churning	Testimony
2018	5	Diaz v. Popular Securities	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2013	5	Dickau v. Morgan Stanley	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2014	5	Dickson v. Golden Beneficial	FINRA Arbitration	Claimant	Suitability, Supervision, Selling Away	Testimony
2004	5	DiRusso v. Merrill Lynch	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2004	5	DLJ v. Schrock	NASD Arbitration	Respondent	Sale of Restricted Secs	Testimony
2018	5	EFCO v. C L King	FINRA Arbitration	Claimant	Supervision	Testimony
2022	5	Eggers v. T Rowe Price	FINRA Arbitration	Claimant	Best Execution	Testimony

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2016	5	Ehrenspeck v. Lightspeed	FINRA Arbitration	Claimant	Supervision	Testimony
2010	5	Eisenstein v. H Beck	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2006	5	Engel v. Ladenburg	NASD Arbitration	Respondent	Suitability, Supervision	Testimony
2004	5	ESCAM v. Morgan Stanley	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2020	5	Esparza v. UBS PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2003	5	Fagan v. Prudential	NASD Arbitration	Claimant	Best Execution, Supervision	Testimony
1998	5	Faxon v. Dean Witter	NASD Arbitration	Claimant	Suitability	Testimony
2016	5	Fernandez v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2016	5	Fernandez v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2021	5	Fidalgo v. UBS PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
1998	5	Fiero v. Waldron	NASD Arbitration	Respondent	Market Manipulation, Short Selling	Testimony
2001	5	Fliegel v. Schwab	NASD Arbitration	Respondent	Best Execution	Testimony
2001	5	Fontana v Washington Square	NASD Arbitration	Respondent	Supervision, Selling Away	Testimony
1998	5	Francois v. Dallas Research & Trading	NASD Arbitration	Claimant	Market Manipulation	Testimony
1998	5	Franklin v. Morgan Keegan	NASD Arbitration	Claimant	Supervision, Selling Away	Testimony
2023	5	GAMASA v. Popular Secs	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
1998	5	Gammon v. PaineWebber	NASD Arbitration	Claimant	Misrepresentation	Testimony
2015	5	Geiersbach v. Ameriprise	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2004	5	Gililland v. Financial West	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2008	5	Gilman v. Morgan Keegan	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2000	5	Gisler v. Josephthal	NASD Arbitration	Respondent	Suitability	Testimony
2015	5	Glenny White v. Ameriprise	FINRA Arbitration	Claimant	Supervision	Testimony
2009	5	Glonti v. RBC Dain	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2018	5	Gnocchi v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2004	5	Gontram v. Salomon Smith Barney	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2016	5	Gorguze v. C. L. King	FINRA Arbitration	Claimant	Supervision	Testimony
2012	5	Grace v. Brookville	FINRA Arbitration	Claimant	Suitability, Damages	Testimony

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2009	5	Grasso v. Merrill Lynch	FINRA Arbitration	Claimant	Supervision	Testimony
1998	5	Greenberg v. Bear Stearns	NASD Arbitration	Claimant	Clearing Firm Liability	Testimony
2016	5	Greene v. Merrill Lynch	FINRA Arbitration	Claimant	Suitability, Supervision	Affidavit
2002	5	Grivas v. Bluestone	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2021	5	Hailey v. Westpark	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2002	5	Hardy v. Walsh Manning	NASD Arbitration	Respondent	Market Manipulation, Suitability	Testimony
2020	5	Hart Methodist v. Cetera	FINRA Arbitration	Claimant	Suitability	Testimony
2015	5	Hayes v. Crawford	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2010	5	Hellyer v. Citigroup	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2006	5	Henley v. Walnut Street Secs	NASD Arbitration	Claimant	Supervision, Selling Away	Testimony
2017	5	Hernandez v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2014	5	Hillcrest Children's Center	FINRA Arbitration	Claimant	Supervision	Testimony
2013	5	HITE v. SMH	FINRA Arbitration	Claimant	Short Selling, Conversion, Misrepresentation	Testimony
2011	5	Hix v. ProEquities	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2015	5	Hobby v. Wells Fargo	FINRA Arbitration	Claimant	Suitability	Testimony
2007	5	Honea v. Raymond James	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2010	5	Hungerford v. Johnston Lemon	FINRA Arbitration	Claimant	Unauthorized Trading	Testimony
2007	5	IFG v. UBS	NASD Arbitration	Claimant	Supervision, Record Keeping	Testimony
2002	5	Infantolino v. AG Edwards	NYSE Arbitration	Claimant	Suitability, Churning, Supervision	Testimony
2009	5	Interactive v. Petra	FINRA Arbitration	Respondent	Best Execution, Payment for Order Flow	Testimony
2005	5	Jacobs v. Salomon Smith Barney	NASD Arbitration	Claimant	Suitability	Testimony
2008	5	Jamous v. Wachovia	FINRA Arbitration	Claimant	Supervision (Commodities)	Testimony
2019	5	Jones v. Network 1	FINRA Arbitration	Claimant	Churning, Suitability, Supervision	Testimony
2006	5	Kaltenbacher v. Morgan Keegan	NASD Arbitration	Claimant	Supervision, Selling Away	Testimony
2004	5	Keilly v. Sands Brothers	NASD Arbitration	Claimant	Suitability, Supervision, Churning, Unauthorized Trading	Testimony
2005	5	Kennedy v. Merrill Lynch	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2014	5	Kerr v. John Thomas Financial	FINRA Arbitration	Claimant	Suitability, Churning, Supervision	Testimony

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2002	5	Kessler v. Edward D. Jones	NASD Arbitration	Claimant	Conversion, Supervision	Testimony
2003	5	Kessler v. Lehman	AAA Arbitration	Claimant	Best Execution, Clearing Broker Dealers	Testimony
2010	5	Kilbane v. Ferris Baker Watts	FINRA Arbitration	Claimant	Suitability	Testimony
2008	5	Kirk v. TD Waterhouse	FINRA Arbitration	Claimant	Best Execution, Supervision	Testimony
2008	5	Klaas v. Charles Schwab	FINRA Arbitration	Claimant	Conversion, Supervision	Testimony
2005	5	Kouzmanoff v. Ameritrade	NASD Arbitration	Claimant	Supervision	Testimony
2004	5	Kurth v. Robert Baird Secs	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2013	5	Kury v. Santander Secs	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2010	5	LaCava v. UBS	FINRA Arbitration	Claimant	Form U-5	Testimony
2006	5	Lambert v. A G Edwards	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2013	5	Lamoreaux v. MMS	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2009	5	Lanfear v. GCC	FINRA Arbitration	Respondent	Excessive Trading	Testimony
2015	5	Lang v. Prime Solutions	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2010	5	Lang v. Wachovia	FINRA Arbitration	Claimant	Suitability	Testimony
2000	5	Larisey v. Schwab	NASD Arbitration	Claimant	Best Execution	Testimony
2011	5	Lehner v. Alpine Secs	FINRA Arbitration	Claimant	Best Execution	Testimony
2007	5	Lewis v. UBS	FINRA Arbitration	Claimant	Supervision	Testimony
2011	5	Lieberman v. Morgan Keegan	FINRA Arbitration	Claimant	Due Diligence	Testimony, Expert Report
2018	5	Livengood v. Wells Fargo	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2003	5	Loud v. Schild	NASD Arbitration	Respondent	Supervision	Testimony
2006	5	Lyons v. Merrill Lynch	NASD Arbitration	Claimant	Supervision, Research Analyst Disclosure	Testimony
2011	5	Madhok v. Charles Schwab	FINRA Arbitration	Claimant	Communications with Public, Misrepresentation	Testimony
2022	5	Magen v. Fortis	FINRA Arbitration	Claimant	Investment Adviser Compensation	Affidavit, Deposition
2003	5	Maltz v. Morgan Stanley	NYSE Arbitration	Claimant	Suitability	Testimony
2009	5	Mandell v. Fidelity	FINRA Arbitration	Claimant	Supervision	Testimony
1998	5	Margulis v. Duke Secs	NASD Arbitration	Claimant	Market Manipulation	Testimony
2003	5	Maxwell v. H&R Block	NASD Arbitration	Claimant	Suitability, Mark ups	Testimony

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2020	5	McCall v. First Standard	FINRA Arbitration	Claimant	Excessive Trading, Suitability, Supervision	Testimony
2014	5	McCaskill v. Raymond James Financial	FINRA Arbitration	Claimant	Form U-5	Testimony
2003	5	McLeod v. Josephthal	NASD Arbitration	Claimant	Suitability, Churning, Supervision, Unauthorized Trading	Testimony
2005	5	Meier v. Scott & Stringfellow	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2011	5	Mekelburg v. Pro Equities	FINRA Arbitration	Plaintiff	Supervision, Selling Away	Testimony
2018	5	Merced v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2016	5	Merced v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2002	5	Merrill Lynch v. Berry	NASD Arbitration	Respondent	Form U-4 and U-5 Reporting Obligations	Testimony
2012	5	Merrill Lynch v. Horvath	FINRA Arbitration	Respondent	Short Selling, Supervision	Testimony
2020	5	Michaels v. Henley	FINRA Arbitration	Claimant	Conversion, Supervision	Testimony
2012	5	Mirabelli v. Merrill Lynch	FINRA Arbitration	Claimant	Suitability, Supervision, Communication with the Public	Testimony
2009	5	Move Inc v. Citigroup Management	FINRA Arbitration	Claimant	Auction Rate Secs	Testimony
2019	5	Mudafort v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2021	5	Muff v. Hartford	FINRA Arbitration	Claimant	Supervision	Testimony
2008	5	Murphy v. James Patten	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
1998	5	Nahass v. Sterling Foster	NASD Arbitration	Claimant	Market Manipulation	Testimony
2007	5	Nee v. Banc of America	FINRA Arbitration	Claimant	Form U-5	Testimony
2002	5	Nicklos v. Washington Square	NASD Arbitration	Respondent	Supervision, Selling Away	Testimony
2019	5	Nigaglioni v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2008	5	Nigohosian v. TD Waterhouse	FINRA Arbitration	Claimant	Best Execution, Supervision	Testimony
2007	5	Nigohsian v. Merrill Lynch	FINRA Arbitration	Claimant	Best Execution, Supervision	Testimony
2017	5	Nobilis v. COR Clearing	FINRA Arbitration	Claimant	Conversion, Supervision	Testimony
2014	5	Ontonimo v. BNP Paribas Secs	FINRA Arbitration	Claimant	Suitability, Supervision, Communication with the Public	Testimony
2009	5	Orlando v. Citigroup	FINRA Arbitration	Claimant	Supervision	Testimony
2020	5	Ort v. Empire	FINRA Arbitration	Claimant	Selling Away	Testimony
2011	5	Othello v. Penson	FINRA Arbitration	Claimant	Market Manipulation, Best Execution	Testimony
2007	5	Pankey v. UBS	NASD Arbitration	Claimant	Form U-5, Termination for Cause	Testimony

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2002	5	Park v. Prudential	NASD Arbitration	Claimant	Suitability	Testimony
2017	5	Patterson v. Ladenburg	FINRA Arbitration	Claimant	Excessive Trading	Testimony
2002	5	Pelosi v. Bank of America	Pacific Stock Exchange Arbitration	Claimant	Suitability	Testimony
2017	5	Pesante v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2012	5	Pitch v. Oppenheimer	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2003	5	Quinn v. Merrill Lynch	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2005	5	Raitport v. Salomon Smith Barney	NASD Arbitration	Claimant	Supervision	Testimony
2011	5	Ramirez v. Morgan Keegan	FINRA Arbitration	Claimant	Due Diligence, Supervision	Testimony, Expert Report
2011	5	Reddy v. Ogilvie	FINRA Arbitration	Claimant	Supervision	Testimony
2004	5	Richards v. Morgan Stanley	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
1999	5	Robins v. Monroe Parker	NASD Arbitration	Claimant	Market Manipulation	Testimony
2013	5	Rodriguez v. BBVA	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2014	5	Rodriguez v. RBC	FINRA Arbitration	Claimant	Disclosure	Testimony
2017	5	Rodriguez v. UBS-PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2010	5	Rose v. AXA	FINRA Arbitration	Claimant	Suitability	Testimony
1999	5	Rowley v. Harriman Group Inc	NASD Arbitration	Claimant	Market Manipulation	Testimony
2012	5	Ruiz v. Revoal	FINRA Arbitration	Respondent	Supervision	Testimony
2011	5	Runge v. Citigroup	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2002	5	Russell v. Prudential	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2003	5	Schmalz v. Ladenburg Capital Management	NASD Arbitration	Claimant	Suitability, Churning, Unauthorized Trading, Supervision	Testimony
2010	5	Schneider v. Frank Rutan	FINRA Arbitration	Claimant	Suitability, Structured Products	Testimony
2003	5	Schulz v. Secs America	NASD Arbitration	Respondent	Supervision	Testimony
2003	5	Schwartz v. JP Morgan Secs	NASD Arbitration	Claimant	Suitability, Churning, Supervision, Unauthorized Trading	Testimony
2014	5	Sciscoe v. FSC Secs	FINRA Arbitration	Claimant	Suitability, Disclosure	Testimony
2017	5	Sexton v. Grimes	FINRA Arbitration	Respondent	Market Manipulation	Testimony
2007	5	Shami v. Dain Rauscher	NASD Arbitration	Claimant	Supervision	Affidavit, Declaration
2017	5	Shaw v. Roosevelt & Cross	FINRA Arbitration	Respondent	Suitability, Supervision	Testimony

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2003	5	Shiry v. Painewebber	NASD Arbitration	Claimant	Suitability	Testimony
2009	5	Shore v. Citigroup	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2007	5	Shore v. Dain Rauscher	NASD Arbitration	Claimant	Supervision	Affidavit, Declaration
1998	5	Short v. Sterling Foster et al.	NASD Arbitration	Claimant	Market Manipulation	Testimony
2005	5	Silberman v. Salomon Smith Barney	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2010	5	Sleight v. Centaurus	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2002	5	Smith v. Gaines Berland	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2013	5	Smith v. Primerica	FINRA Arbitration	Claimant	Communications with Public	Testimony
2017	5	Staub v. Morgan Stanley	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2000	5	Stein v. Josephthal	NASD Arbitration	Defendant	Supervision, Selling Away	Testimony
2000	5	Stewart v. Keogler Morgan	NASD Arbitration	Claimant	Compensation	Testimony
2020	5	Stoyanovich v. Interactive Brokers	FINRA Arbitration	Claimant	Selling Away	Testimony
2017	5	Struble v. Raymond James	FINRA Arbitration	Claimant	Suitability, Supervision	Affidavit
2004	5	Taylor Trust v. Merrill Lynch	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2013	5	Thistle v. EKN	FINRA Arbitration	Claimant	Suitability, Excessive Trading	Testimony
2000	5	Torsiello v. Sterling Foster	NASD Arbitration	Claimant	Clearing Firm Liability, Market Manipulation	Testimony
2011	5	Treichel v. Charles Schwab	FINRA Arbitration	Claimant	Misrepresentation, Communications with Public	Testimony, Affidavit
2021	5	Trinidad v. Popular Secs	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2014	5	Troutman v. Joseph Gunnar	FINRA Arbitration	Claimant	Suitability, Churning, Supervision	Testimony
2005	5	Tunis v. Salomon Smith Barney	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2014	5	Urso v. Commonwealth Financial	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2005	5	Van Pelt v. UBS	NASD Arbitration	Claimant	Market Manipulation, Form U-5 Disclosures	Testimony
2023	5	Vandermark v. Hilltop Secs	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2013	5	VCG Special Opportunities v. CGMI	FINRA Arbitration	Claimant	Suitability	Testimony
2001	5	Vellone v. First Union	AAA Arbitration	Claimant	Conversion, Supervision	Testimony
2016	5	Vizcarrondo v. UBS PR	FINRA Arbitration	Claimant	Suitability, Supervision	Testimony
2011	5	Vollstedt v. Charles Schwab	FINRA Arbitration	Claimant	Communications with Public, Misrepresentation	Testimony
2011	5	Watts v. Charles Schwab	FINRA Arbitration	Claimant	Communications with Public, Misrepresentation	Testimony

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2015	5	Westmoreland v. FSC	FINRA Arbitration	Claimant	Supervision, Selling Away	Testimony
2012	5	Wilton v. Wachovia	FINRA Arbitration	Claimant	Suitability	Testimony
2004	5	Wissner v. Fin Atlantic	NASD Arbitration	Claimant	Suitability, Supervision	Testimony
2000	5	Wright v. May & Co.	NASD Arbitration	Claimant	Suitability	Testimony
2011	5	Young v. Deutsche Bank	FINRA Arbitration	Claimant	Communications with Public, Misrepresentation	Testimony