

MASON ALAN DINEHART III, RFC
Financial Education Network Development (FEND)
FINRA Arbitrator #A30388
www.fend.com

BUSINESS SPECIALTY

Expert witness/Consultant in arbitration/litigation since 1991, involving securities, insurance and annuities, nationwide. Testifying in 356 arbitrations (700 retentions) before FINRA/NASD/AAA/NYSE/PSE/ JAMS with 98 mediations in CA, OR, AK, AZ, HI, TX, IL, KS, KY, LA, MA, MI, MN, MO, NM, NV, OH, NY, GA, TN, UT, WA WV & FL. (No charge for direct/non-stop air flight time). Mr. Dinehart, RFC, has been qualified and has testified as a Securities Industry Expert Witness before Federal and State Courts in CA plus as an Insurance Industry Expert in the State Court of NV and serves as a FINRA Arbitrator. Services are provided for both claimants (65%) and respondents (35%).

AREAS OF STRENGTH

Common/preferred stocks, bonds, IPO's, mutual funds, variable/fixed index annuities, private placements, life insurance/VUL's, L.P.'s, LLC's, hedge funds, REITS, TIC's, options, REMICS, mortgage backed securities & private stock offerings for individuals and trusts. P&L's and damage calculations provided (Investment View+ - Thomson Reuters). Testifying as to suitability, fiduciary duty, due diligence, underwriting & supervision, overreaching, churning, selling away, over-concentration/asset- allocation, modern portfolio theory analysis, stock manipulation, best execution, margin, options, mark-ups, mark-downs, on-line trading, RIA activities, control person liability, "financial suicide", reverse churning, standard-of-care, industry custom and practice plus compliance.

PROFESSIONAL LICENSES

MEMBER, FINRA REGULATION, INC. BOARD OF ARBITRATORS #A30388 - Panel Chairman
- NASD # 99-03001-April '00. CA Life and Health Insurance License # 0643601
Series 7, 24, 27*, 63, 65, 79 & 99, variable contracts, real estate*. *previously held

EDUCATION

California State College at Los Angeles (B/A - Speech & Communication)
American Institute of Banking School of Finance & Taxation - Graduate - Los Angeles District Chapter

AFFILIATIONS

12/18- State Bar of California-Designated Securities Expert Witness (Akili Nickson - Sr. Trial Counsel) Thomson Reuters (TREWS); FindLaw.com, Jurispro.com. Pro/Counsel, TASA, C.C.C., CA-Experts.com , Infofaq.com, Exify.com, Forensis Group & Member - Securities Experts Roundtable; Panelist – Speaker - Practising Law Institute - L.P. Marketing & Compliance - 1972 - R/E Syndication; [Money Magazine - January, 2006](#); Real Estate Review - Published article - Fall - 1972; The Register (IARFC) Summer 2002; The Advisors Network, Winter 2002; Panelist & Speaker-Annual Seminar for Securities Brokers 2000-2003, sponsored by Registered Rep. Magazine and On Wall Street Magazine; Speaker-Panelist & Article, PIABA Conventions, 10 '03 & 2 '04; KFWB Radio, November, 2003 – RFC Member - International Assn. of Registered Financial Consultants (IARFC), AAI; Life Member - American Institute of Banking - Pasadena District Chapter (AIB), and Adjunct Faculty Member -Westlaw Round Table Group. 2004; Knights of Columbus, Published articles – www.expertlaw.com.; PIABA Bar Journal Volume 21, No. 2 - 2014 – “A Checklist for Reasonable Due Diligence – The ScoreCard”; PIABA Bar Journal Volume 24, No. 3 – 2017 – “The Challenge of Due Diligence of a Variable Annuity-The ScoreCard Method” In 2023, I became a member of the Practice Management Committee of The Securities Experts Roundtable.

BUSINESS EXPERIENCE

Securities

Carlsberg Securities Corporation - 1969-1982

- V.P. Marketing - Securities - Insurance - R/E syndication - Branch Mgr. & Member of Bd. of Directors
- Registered Principal Due Diligence and Compliance Director

Westfield Capital Corporation - 1982-1986

- V.P. Marketing - Securities - R/E syndication - Branch Manager, Due Diligence & Compliance

Boardwalk Capital Corporation - 1987-1990* – National Sales Director.

- Marketing Compliance Officer - Full service, independent financial planning broker/dealer

- Chairman of due diligence committee, licensing and recruiting for 200 registered representatives.

- **President - Registered Investment Advisor**

Financial Education Network Development

- 1990-Present - Owner & founder of a financial planning firm providing educational retirement, financial.

planning seminars for 401-K participants (and spouses) of corporations, nationally. From 1995 to the

present, the firm has added an emphasis upon expert witness activities, along with 10 arbitrator assignments since 1999, including 4 awards.

- 1991-1999 - Eric Equities, Inc. - Securities, Annuities & Insurance - Branch Supervisor

- 1999 – 2000 – Locust Street Securities, Inc. - Life Insurance and Annuity sales

- 2000 - 2010 - Empire Securities Corp. - Home Office Supervisor/Director of Advertising Compliance

- 2010 – 7-31-2011 – AISG - Compliance Consultant – Due Diligence

- 8-1-2011 – 12-28-18 – Silber Bennett Financial, Inc. – Home Office Supervisor; Registered Principal

- Due Diligence and Director of Advertising compliance.

- 01-2019 – 10-20-20 – Financial Education Network Development - Securities Expert Witness and FINRA Arbitrator.

- 10-20-20 - 1231-21 – LightPath Capital, Inc. – Registered Principal - Outside Business Activities Compliance. I voluntarily terminated on 12-31-2021 due to Co.'s hiring a full time Compliance Officer.

-01-01-2022 to Present – FEND, Financial Education Network Development – Securities expert witness and FINRA Arbitrator.

Commercial Banking

Bank of America - 1959-1965 - AVP - Corporate Finance – National Division (approval of loans \$500K +)

Union Bank - 1965-1969 - VP - Manager of Business Development - So. California.

Taxes & Insurance

L. E. Cooper & Associates 1959-1965 - Tax Accountant

Carlsberg Insurance Agency - 1975-1982 - President * During the period 02/1990 – 04/1990, I was dually licensed with Nilcorp Securities Company and Promontory Capital Corporation to market and wholesale their sponsored products.