



**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.
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[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

[Patti Koetting](#)

Yes

Yes

Yes

Yes

Yes

P&L and other analytical analysis; Damages calculations.



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<a href="#">Hollie Mason</a>	Yes		Yes	Yes	Yes	Investor protection, broker-dealer custom and practice, securities regulation, securities industry ethics and supervisory responsibilities... anything remotely related to securities
<a href="#">Catherine Mustico</a>	Yes		Yes	Yes	Yes	SEC, FINRA Rules, and State Securities Laws, Suitability, Supervision, AML, Red Flag monitoring, KYC, Fraud and Financial Crimes, penny stocks, BSA, Private Placements, and anything related to an RIA or a Broker Dealer.
<a href="#">Stuart Ober</a>	Yes			Yes	Yes	Fiduciary Responsibilities, Fraud, Suitability, Investment Advisory Issues
<a href="#">Gontran de Quillacq</a>				Yes		Alternative & quantitative investments
<a href="#">Rob Spawn</a>	Yes		Yes	Yes	Yes	suitability and best interest, breach of fiduciary duty, supervision, general retail wealth management any aspect of retail brokerage; fiduciary duty; asset allocation/suitability
<a href="#">Tom Taliaferro</a>	Yes		Yes		Yes	Standards of Care b/d and RIA; Damages
<a href="#">Ross Tulman</a>	Yes	Yes	Yes	Yes	Yes	
<a href="#">Gordon Yale</a>	Yes	Yes	Yes	Yes	Yes	Adequacy of disclosure and due diligence, both for BDs and RIAs.

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