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White Plains, NY

*Senior Associate Dean for Academic Affairs and Law Operations (2022-present); Associate Dean for Academic Affairs (2018-2022); Professor of Law (2009-present); Associate Professor of Law (2004-2009) (tenured in 2006); Visiting Assistant Professor of Law (2001-2002)*

- Developed and directed Civil Litigation and Dispute Resolution Clinic (2010-2015)
- Director of Legal Skills (2010-2015) (leadership education curricular programs, including all clinics)
- Director, Investor Rights Clinic (1999-2015) (seminars, symposia, and research)
- Elected by peers to Nominating Committee (2006-07; 2008-10; 2013-16)
- Faculty Advisor, ADR Competition Teams; Student Dispute Resolution Society
- Honor Board Investigator (2016-2018)
- Mentored and supervised students in Federal Judicial Honors Program; Guided Research, Guided Externships and Bar Exam Summer Program
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THE FEDERAL ARBITRATION ACT: SUCCESSES, FAILURES, AND A ROADMAP FOR REFORM (co-edited with Richard A. Bales) (Cambridge University Press, forthcoming 2024)

BROKER-DEALER LAW AND REGULATION (Wolters Kluwer) (5<sup>th</sup> ed. 2018 and annual supp.) (two-volume treatise with James Fanto & Norman Poser)

ARBITRATION: LAW, POLICY AND PRACTICE (Carolina Academic Press 2018) (with Maureen Weston, Kristen Blankley & Stephen Huber)

*RBG and Arbitration: Consent, Not Coercion*, in THE JURISPRUDENTIAL LEGACY OF JUSTICE RUTH BADER GINSBURG (A. Bartow and R. Vacca, eds.) (NYU Press 2022)

*Rethinking the Debunking: On Arbitration Myths, Preferences and Legal Theory*, in DISCUSSIONS IN

*Justice Scalia's Hat Trick and the Supreme Court's Flawed Understanding of Twenty-First Century Arbitration*, 81 BROOKLYN L. REV. 111 (2015)

*The Improbable Birth and Conceivable Death of the Securities Arbitration Clinic*, 15 C

Contributing Editor, *Indisputably* (ADR Prof Blog),



Panelist,

Presenter, *Setting the Record Straight: The Supreme Court and 21<sup>st</sup> Century Arbitration*, James D. Hopkins Memorial Lecture, Pace Law School (Nov. 12, 2014)

Discussant, *Setting the Record Straight: The Supreme Court and 21<sup>st</sup> Century Arbitration*, Discussion Group: Mandatory Arbitration and the Question of Justice, SEALS Conference (Aug. 2014)

Panelist and Moderator, SECURITIES ARBITRATION 2014 (Practising Law Institute)

Panelist and Moderator, SECURITIES ARBITRATION 2013 (Practising Law Institute)

Panelist, *Consumer Arbitration: What's New? and Defining Fairness*, ADR ExecuSummit (June 11, 2013)

Panelist, *Tips for Conducting Efficient Hearings*, FINRA Dispute Resolution Neutral Workshop (May 16, 2013)

Panelist, *What Do Ethics Have To Do With It? Perspectives on Ethical Issues*, ABA Section of Dispute Resolution Spring Conference (Apr. 5, 2013)

Guest Lecturer,

Presenter, *The End of Mandatory Securities Arbitration?*, FINRA Dispute Resolution, All-Staff Teleconference (Feb. 23, 2011)

Presenter, *Developments in Arbitration Law*, New York County Lawyers' Association, Arbitration and ADR Committee (Sept. 28, 2010)

Panelist, *Arbitration Ethics*, Plenary Session, PIABA 2009 Annual Meeting (Oct. 28, 2009)

Program Co-Chair and Panelist, Securities Law Seminar, PIABA 2008 and 2009 Annual Meetings (Oct. 22, 2008 and Oct. 27, 2009)

Presenter, *Innovations in Teaching ADR Through Simulations*, ABA Section of Dispute Resolution Annual Meeting (April 2009)

Panelist, *Arbitration Ethics*, Plenary Session, PIABA 2008 Annual Meeting (Oct. 23, 2008)

Presenter, *When Perception Changes Reality: An Empirical Study of Investors' Views of the Fairness of Securities Arbitration*, Albany Law School Faculty Colloquium (Sept. 17, 2008)

Poster Session Presenter, *When Perception Changes Reality: An Empirical Study of Investors' Views of the Fairness of Securities Arbitration*, Conference on Empirical Legal Studies, Cornell Law School (Sept. 12, 2008) (with Barbara Black)

Panelist, *Arbitration is Broken: How Can it be Fixed?*, North American Securities Administrators Association Public Forum (June 24, 2008)

Presenter, *Perceptions of Fairness of Securities Arbitration: An Empirical Study*, Report to the Securities Industry Conference on Arbitration (Nov. 28, 2007 and Jan. 8, 2008)

Panelist, *Arbitration Ethics*, Plenary Session, PIABA 2007 Annual Meeting (Oct. 18, 2007)

Panelist, *The New NASD Arbitration Code; Mechanics of Motions to Vacate*, Securities Law Seminar, PIABA 2007 Annual Meeting (Oct. 17, 2007)

Presenter, *The Regulation of Fairness in Securities Arbitration*, Pace Law School Faculty Colloquium (spring 2007)

Moderator and Commentator, Symposium, Twenty Years after *Shearson/American Express v. McMahon*: Assessing Investors' Remedies, University of Cincinnati College of Law (March 30, 2007)

Presenter, Failed Student Collaborations, Concurrent Session, AALS Conference on Clinical Legal Education, New York, NY (May 2006)

Moderator, Mutual Fund Reform Panel and Closing Remarks, Investor Rights Symposium, Pace Law School, White Plains, N.Y. (April 1, 2005)

Presenter, Securities Mediation: Dispute Resolution for the Individual Investor, Fordham Law School New York Junior Faculty Colloquium, New York, N.Y. (Jan. 28, 2005)

Presenter, Interdisciplinary Teaching Models: Law/Business Clinics: Pace Law School's Securities Arbitration Clinic and Pace's Lubin School of Business (with Ronald Filante, Ph.D), Concurrent Session, AALS Conference on Clinical Legal Education, San Diego, CA (May 2004)

Presenter, Liability of the Broker-Dealer to the Customer: The Customer's Perspective, UBS Financial Services Litigators' Training Workshop, Weehawken, N.J. (Nov. 12, 2003)



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Represented clients in white-collar criminal and SEC investigations and prosecutions, civil proceedings, arbitrations and trials. Drafted pleadings, memoranda of law, arbitration submissions, discovery materials, position papers, and sentencing memos. Deposed and defended witnesses. Negotiated plea agreements and settlements. Conducted internal investigations. Retained as consulting and testifying expert witness in SEC and FINRA enforcement actions, FINRA arbitrations and other securities proceedings.

<i>Of Counsel</i>	New York, NY 2001 – 2004
<i>Litigation Associate</i>	New York, NY 1996 – 1999
<i>Litigation Associate</i>	New York, NY 1992 – 1996
<i>Litigation Associate</i>	New York, NY 1990 – 1992

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AALS Section on Alternative Dispute Resolution: Chair (2017) [Section won AALS Award for Best Section of the Year based on its work in 2017]; Executive Committee (2013-18)  
ABA Section of Dispute Resolution: Chair, Securities ADR Committee (2011-2013); Vice-Chair, ADR in Law Schools Committee (2010-11); LEAPS Task Force Executive Committee (2010-17)  
Advisory Committee to New York Court of Appeals for Skills Competency Requirement (2018)  
Arbitrator: American Arbitration Association; FINRA Dispute Resolution; National Futures Association  
Above the Bar Awards (Westchester County) Judging Committee (2013-2018)  
FINRA National Arbitration and Mediation Committee, Member (2006-09)  
President's Council of Cornell Women (2012-present); Vice Chair, Mentoring Committee, 2016-18  
Securities Experts Roundtable, Elected Member (2008-2022)  
Bar Admissions: New York; Massachusetts (retired 2019); Southern and Eastern Districts of New York