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CAREER HISTORY

Present:

THE FORMAN LAW FIRM: Private practice of law representing public investors, brokerage firms, registered representatives, investment advisors, hedge funds, private equity funds and select public and private investors in all investment or securities related matters. In-depth experience of the securities industry helps provide effective representation in litigation or arbitration related to the brokerage industry and investment community. Regulatory experience helps us provide effective representation to clients in investigations and enforcement proceedings conducted by the SEC, the NASD, and state securities agencies.

ATTORNEY-MEDIATOR: TMCA Credentialed Advanced Mediator. Attorney-mediator providing evaluative mediation and dispute resolution services primarily for the securities industry and business community, including disputes involving broker/dealers, customers, employees, private-equity firms, hedge funds, investors, public issuers, shareholders, mutual funds, partnerships, clearing firms and other securities or business related disputes. NASD Mediator and Chairperson Arbitrator. Approved arbitrator for NYSE and NFA.

EXPERT WITNESS CONSULTING: Expert witness consulting services for the securities industry and investment community, serving both claimants and respondents nationally in merit-based engagements.

CHOICE INVESTMENTS, INC. Registered Representative and Principal. June, 2004 to February, 2005.

1996 to 2002

FIRST FINANCIAL INVESTMENT SECURITIES, INC.; Diversified Financial Services Holding Company; Parent Company to First Avantus Securities, Inc. and First Avantus Insurance Agency; Founder, Chairman of The Board and Chief Executive Officer. (January 23, 1996 to May, 2002).

1996 to 2002/4

FIRST AVANTUS SECURITIES, INC.; NASD Broker/Dealer; Founder, Chairman of The Board, and Chief Executive Officer. (January 23, 1996 to May, 2002). Registered Representative (January 23, 1996 to June, 2004).

- 1998 to 2002 **FIRST AVANTUS INSURANCE AGENCY, INC.;** Texas State Licensed Insurance Agent providing Group I Life, Health and Disability insurance products and annuities. Founder and Agent.
- 1996 to 2002 **THE PRIVET ROW HEDGE FUNDS.;** Investment Fund Limited Partnerships, Founder and Co-Manager.
- 1996 to 2002 **PRIVET ROW, INC.;** Corporate General Partner and Manager of The Privet Funds; President, Director and Shareholder.
- 1995 **BLUEBONNET SECURITIES, INC.,** Registered NASD Broker/Dealer; Interim Chief Executive Officer and Registered Representative. (May 1, 1995 to December, 1995)
- 1991 to 1995 **PRIVATE PRACTICE OF LAW-** Successful private practice of law representing various individuals and entities in the areas of corporate and business law, all areas of civil litigation and mediation (October 1991 to 1995). Engaged in practice of mediation for all civil disputes.
- 1991 to 1995 **DALLAS RESEARCH & TRADING, INC.,** Registered NASD Broker/Dealer; President, General Counsel, Compliance Officer, Co-Founder, Director and Stock Broker (July 3, 1991 to March, 1995).
- 1991 to 1995 **THE SHELBOURNE GROUP, INC.,** Private Investment Bank and Parent Company of Dallas Research & Trading, Inc.; Founder, Executive Officer, Director, and General Counsel (July 3, 1991 to March 1995).
- 1987 to 1991 **GODWIN, CARLTON & MAXWELL;** Dallas, Texas, Associate Lawyer. Civil Litigation; General Business and Corporate Practice, Bankruptcy (June 1987- Oct 1991).

**SECURITIES INDUSTRY
CONTRIBUTIONS**

- 2000-2003 **NASDR COMMITTEE MEMBER,** Nominated and elected to 3 year term of District Committee for District 6 of National Association of Securities Dealers Regulation, Inc. (2000-2003). Elected as Vice Chairman of the District Committee for the Year 2001 and Chairman for the Year 2002.
- 2001 to 2003 **SMALL FIRM ADVISORY BOARD,** Nominated and elected to NASD Small Firm Advisory Board (2001--2003).
- 2002 to 2003 **NASD ADVISORY COUNCIL,** Appointed to Advisory Council for year 2002 through 2003.

1996 to 2002

SPEAKER: Various NASD and industry sponsored conferences on compliance and related issues. Also, various bar association presentations.

PROFESSIONAL LICENSES

AND AFFILIATIONS:

- Securities:*
- General Securities Principal License (Series 24), 1991 to 2005.
 - Full General Securities Agent License (Series 7), 1991 to 2005.
 - Uniform State Agent License (Series 63), 1991 to 2005.
 - Financial/Operations Principal License (Series 27), 1996-2005.
 - Group I Life/Health& Disability Insurance License (1993, 1999--).
 - Member NASD(1991 to 2005)
 - NASD (Chairperson), NYSE and NFA Arbitrator.
 - NASD Approved Mediator

- Legal:*
- Supreme Court of the State of Texas, Practice of Law (1987).
 - Current/former member of U.S. District Courts for the Northern, Southern, Western and Eastern Districts of Texas.
 - Current/former member of U. S. Court of Appeals for the 5th Circuit.
 - Approved Mediator for U.S. District Court, Western District of Texas
 - Member, The College of The State Bar of Texas

LEGAL EDUCATION:

SOUTHERN METHODIST UNIVERSITY, School of Law,
Dallas, Texas; Juris Doctor, May 1987

DISPUTE RESOLUTION Professional TRAINING AND ASSOCIATIONS:

PEPPERDINE UNIVERSITY SCHOOL OF LAW
The Straus Institute for Dispute Resolution; 16th Annual
Skills Program in Dispute Resolution (June 2003)

UNIVERSITY OF TEXAS SCHOOL OF LAW
Center For Public Policy Dispute Resolution
Mediation Training (June 2003)

ARBITRATION TRAINING: Training as NASD qualified arbitrator.
Various Chairperson training seminars. (1994-1997)

ATTORNEY-MEDIATORS INSTITUTE, INC. Forty hour
basic training for attorney-mediators (1994)

ASSOCIATION OF ATTORNEY MEDIATORS, Member.

AMERICAN BAR ASSOCIATION

TEXAS STATE BAR ASSOCIATION

TRAVIS COUNTY BAR ASSOCIATION

DALLAS BAR ASSOCIATION

HOUSTON BAR ASSOCIATION

SMITH COUNTY BAR ASSOCIATION

PUBLIC INVESTORS ARBITRATION BAR ASSOCIATION

(Roster of Experts, Mediators & Consultants)

NASD DISPUTE RESOLUTION, Chairperson Arbitrator/Mediator.

**PREVIOUS
EDUCATION:**

UNIVERSITY OF TEXAS, Austin, Texas.
Bachelor of Business Administration - Finance, May 1984

UNIVERSITY OF PITTSBURGH - Semester at Sea Program;
Shipboard five-month study abroad in eleven countries (Jan. -
May 1983)

