

Christopher B. Wells

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Areas of Practice

Chris Wells heads the Securities Broker-Dealer industry team. Chris concentrates his practice on commercial litigation specializing in securities, business fraud, intellectual property, employment contract and commercial disputes, corporate and partnership duties, professional liability, and multi-district class actions.

Chris has over thirty-five years of trial and litigation experience representing clients in securities, employment, covenant not to compete, trade secrets, unfair competition, trademark, defamation and other business disputes. He also has experience assisting clients in alternative dispute resolution, such as arbitration. Chris has been an arbitrator for the AAA, NASD, NYSE and King County Superior Court. He is a member of the Securities Industry Association Compliance and Legal Division. Chris has represented many firms and individuals in investigations and enforcement proceedings brought by securities regulators.

Prior to joining Lane Powell, Chris served as a trial attorney for the United States Army in Heidelberg, Germany from 1974-77 and as an enforcement attorney for the U.S. securities and Exchange Commission from 1977-82.

Chris was a Certified Public Accountant and a member of the Washington Society of Certified Public Accountants and the American Association of Attorney-Certified Public Accountants from 1981 to 2009.

Professional Experience

Over Thirty-Five Years of Litigation Experience

1982-Present. Twenty-eight years in private practice with Lane Powell representing securities brokers, banks, insurers, medical products companies, retailers, distributors and other businesses and professionals in forums such as federal and state courts and NASD (now FINRA) and AAA arbitrations. Experience includes one hundred trials, NASD and AAA hearings as counsel or arbitrator (has also served as counsel or arbitrator in Washington State statutory arbitrations).

1977-1982. Nearly five years of discovery, motion and civil litigation practice as Enforcement Attorney with the U.S. Securities & Exchange Commission in Seattle, Washington. Prosecuted SEC civil injunctive cases in federal courts in Idaho, Montana, Colorado, Nevada and Washington. Became a Certified Public Accountant in 1981.

1974-1977. Three years of intensive trial practice in U.S. Army JAGC in Heidelberg, Germany. Over 30 bench and jury trials of crimes such as murder, assault, robbery, black marketing, mail fraud, drug trafficking and other offenses under the UCMJ.

Limited in French and German

Admitted to Practice

Kansas
Washington

Academics

Certified Public Accountant, Washington, 1981-2009
University of Kansas (J.D., 1973; B.S. and B.A., 1970)
Winner of Advocacy Competition at Kansas Law School, 1972
Letter of Commendation on Appellate Brief from TJAG, United States Army, 1976
Scholarship, National Aeronautics and Space Administration, 1965

Practice Group and Specialty Team Memberships

Class Action Defense
Intellectual Property and Technology
Litigation
Securities
Securities Litigation
White Collar Criminal Defense, Regulatory Compliance and Special Investigations

Representative Matters

Examples of Securities Broker/Securities Act Cases.

2010. Co-counsel with a national law firm in defense of underwriter of several collateralized debt obligations of roughly \$100 million each in cases brought by the Federal Home Loan bank of Seattle alleging securities fraud under Washington State Securities Act.

Assisted in defending the New York Stock Exchange (“NYSE Arca”) in a case brought in federal district court in Seattle. Served as co-counsel to NYSE Arca’s primary outside counsel, Milbank Tweed. Plaintiff alleged damages resulting from payments it made to reimburse customers who claimed to have lost money on trades induced by a stock price that was allegedly—but never actually—reported on the NYSE Arca electronic exchange and was far below the usual trading range for that stock. NYSE Arca filed a motion to dismiss on various grounds, including immunity accorded regulatory organizations. Immediately after our co-counsel’s oral argument on July 13, the court dismissed the complaint against NYSE Arca with prejudice on several grounds.

2008-2009. In re 16(b) Litigation, No. C07-1549JLR (USDC, WDWA): Served as local counsel and participated in strategy and brief writing for ten investment bank-underwriters sued in 54 cases seeking hundreds of millions of dollars to be disgorged as short swing profits from issuers and underwriters in IPOs from 1998-2001. Cases were coordinated, omnibus motions to dismiss were filed by underwriters and issuers based on limitations period expiring and other grounds. Cases were dismissed on March 12, 2009 due to expired limitations period and inadequate demand upon issuer defendants.

FINRA Case No. 08-0450, *Neves v. WaMu Investments Inc.* (nka Chase Investment Services Corp.): Defended securities broker-dealer in customer arbitration alleging out of pocket losses over \$1 million and consequential damages over \$3 million based on unsuitable recommendations. Panel dismissed all claims, imposed forum fees on claimant, expunged individual representative’s record

of complaint and awarded \$50,000 attorney fees to brokerage firm.

FINRA Case No. 09-04075 *Lewandowski v. Loring Ward, Pershing, FSC Securities and Terwedo* and FINRA Case No. 08-04249, *Peterson v WaMu Investments* (nka Chase Investment Services Corp.): Appeared for investment adviser and clearing broker in one case and broker-dealer in another, and in both cases induced counsel for claimant to dismiss with prejudice.

2006-2007. Represented Canadian and U.S. individuals and U.S. Company in SEC investigation of stock transactions in OTCBB company, concerning possible registration, reporting and antifraud violations, market manipulation and insider trading. Represented a number of securities broker-dealers and individuals in a variety of state securities regulatory investigations including suitability of variable annuity sales, supervision, registration of real estate notes and investment advisor conduct.

2004-2005. Defended many customer claims in arbitration cases. About ten went to hearings, but one was against a settlement recommendation and only one other award exceeded a claimant's settlement demand. Defended Canadian stockbroker in SEC administrative proceedings in Denver, CO, in which Enforcement Division alleged numerous violations against seven respondents, stemming from Reg S violations of stock traded in public company OTC. Division sought to disgorge \$27 million from Canadian client. Defeated anti-fraud claims and limited disgorged amount to \$1 million compensation admittedly earned and offered to Division all along, less taxes paid.

2003. Prosecuted securities broker-dealer's contribution claim against former rep who had fraudulently sold unapproved products concealed from firm, then filed bankruptcy when customers complained. In bankruptcy adversary proceeding, obtained \$1.4 million judgment of non-dischargeable debt to firm.

2003. Obtained dismissals of firms and brokers in two arbitrations involving high yield bond fund and tech stocks. Defended firm, two managers and rep who had advised retired claimants to mortgage home and invest in aggressive growth funds, violating managers' policy. Case had unavoidable exposure of \$30,000 - \$60,000. Tried to settle, but claimants demanded \$180,000. Obtained dismissal of two managers, and limited award against the firm and rep to \$42,000.

2002. Defended broker in arbitration in which customer alleged failure to sell short or recommend short sale of stock in internet retailer in which customers held restricted shares. Obtained dismissal with no liability. Defended firm in "selling away" case in Idaho state court; procured dismissal with no liability.

2001. Defended securities firm in series of selling away cases in California NASD arbitrations. Procured increasingly favorable settlements, declining to ten percent of out-of-pocket losses in final cases.

2000-01. *Buskey v. Morgan Stanley Dean Witter.* Headed team of attorneys in several law firms defending broker-dealer in Boise, Idaho state court case. Plaintiffs alleged unsuitable recommendations and churning, and sought over \$1 million in "well-managed portfolio compensation" and punitive damages. After successful summary judgement motions dismissing almost all claims, plaintiffs settled for \$15,000.

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- 1999-2000. Regulatory matters. Represented several employees in regulatory investigations concerning trading in their employers' publicly traded stock.
- 1999-2000. Defended firms and stockbrokers in NASD arbitrations that settled and induced one claimant to withdraw claims against broker by providing documents disproving claim at outset and citing legal authority for recovery of defense fees and costs. (Replaced two New York law firms who had been unable to induce the dismissal.)
- 1999-2000. *Getty v. Harmon.* Teamed with partners to defend stockbroker/insurance salesman in federal court class action in Seattle under the PSLRA, and served as special securities defense counsel in parallel grand jury proceedings. Subverted class damage theories to spark a settlement highly satisfactory to client and his insurance carrier.
1996. NASD Case No. 95-0537. Defended firm and assisted pro se former broker against customers claiming losses around \$150,000 from placing entire \$200,000 portfolio in non-public California real estate partnerships. Client firm was only required to repurchase one limited partnership investment for \$13,000 (then worth several thousand dollars), and former rep funded half of repurchase.
- 1995-96. NASD Case No. 94-12746. Defended individual broker against Montana state securities fraud claims by customers who invested in vermiculite mining venture. Before retaining counsel, client had been fined \$10,000 and barred from industry by NASD for selling away, and firm defended on selling away theory. Upon motion based on affirmative defenses, obtained no-liability defense verdict--dismissal of claims with prejudice at close of claimants' case (enabling firm to avoid liability as well).
- 1994-95. AAA Case No. 75 136 00094; WDWA Bkcy. No. 95-00573. Prosecuted securities fraud and related claims on behalf of four investors who had lost \$405,000 in gold mining venture. Obtained AAA award of \$600,000, and in related bankruptcy proceeding settled with mining company and managers for \$535,000.
- 1993-1995. NASD Case No. 93-01590. Defended brokerage firm in \$2 million case in St. Louis brought by 35 investors throughout the country alleging securities fraud, RICO and other liability arising from real estate partnership syndication. Settled case for approximately 60% of out-of-pocket losses, recommended filing coverage action against E&O insurance carrier, which had denied coverage. No reported cases supported coverage arguments, but convinced federal district court in St. Louis to bar exclusions relied upon by carrier, obtained partial summary judgment by distinguishing precedents applicable to insurance rather than equity securities and followed up with extremely favorable settlement covering almost all of the payment made to the underlying claimants.
1994. *Albar, Inc., JAMS.* Appointed as special master by Seattle JAMS Judge to assist in decision involving closely held corporation buy-out of minority shareholder-president by majority shareholder. Advised arbitration judge on issues of shareholder, director and officer responsibility, stock valuation and damage claims. Supervised ongoing business operations pending hearing.

September 1991. *Bennett v. Malony et al.*, (Washington State Court) King County Cause No. 86-2-08163-1. Defended attorney who served as escrow agent in financing of condominium development. Plaintiff, the Masonic Lodge of Washington, sought \$250,000 plus attorney fees based on state securities act and other grounds. At trial, obtained predominantly defense verdict (well below plaintiff's and below client's last settlement offer) despite numerous errors by trial court. The trial judge altered the jury verdict and increased damages to \$250,000. Appealed for client and obtained reversal of trial court's j.n.o.v. and reversal of trial court's denial of defense motion for directed verdict, resulting in no liability verdict for client and recovery of costs on appeal. Appellate opinion describing case at 63 Wn. App. 180, 817 P.2d 868 (1991).

1990. *Hollinger v. Titan Capital Corp.*, 914 F.2d 1564 (9th Cir. 1990) (en banc). Defended brokerage firm in federal court lawsuit in Seattle commenced around 1986 alleging federal and state securities fraud and other state common law and statutory liability. Obtained summary judgment dismissal of claims against client brokerage firm, notwithstanding that rep had defalcated plaintiffs' funds. Represented brokerage firm in nationally prominent appeal in which Ninth Circuit altered its test for control person liability under the federal securities acts. Part of the summary judgment was reversed and remanded, then settled. (Later supplied briefs and guidance to the attorney who obtained a summary judgment upheld on appeal in a subsequent control person case—*Hauser v. Farrell*, 14 F.3d 1338 (9th Cir. 1994).

1989. *Glenham v. Palzer*, USDC, WD WA (federal court in Seattle) Cause No. C87-849WD. Defended attorney who acted as escrow agent for mortgage broker in racketeering case predicated on federal securities fraud in which about 30 plaintiffs sought damages of \$1.5 million (trebled under RICO to \$4.5 million). Obtained summary judgment dismissal of claims (led briefing for numerous defendants). Settled plaintiffs' appeal for negligible amount, and Ninth Circuit affirmed summary judgment in favor of remaining defendants in 1991 - U.S. App. LEXIS 26873.

1989. *Winchester Gold Corporation, et al. v. American Mining Co., et al.* (Washington State Court) Spokane County Cause No. 88-202289-0. Defended corporate managing partner and directors and officers of limited partnership comprised of public mining companies in \$2.5 million state court suit in Spokane. Individual clients were founders of Pegasus Gold Company. After a year of litigation, negotiated settlement of claims for about \$800,000. Plaintiffs had alleged securities and management fraud, diversion of partnership funds, usurpation of opportunities and interest in \$90 million transaction for world's largest copper/nickel deposit.

1989. *McGrath, et al. v. Sentra Securities Corporation, et al.*, USDC, WD WA, Cause No. C87-475WD and FPI/Agritech Securities Litigation, (federal court in Seattle, transferred to San Francisco/Hawaii) MDL No. 763. Defended brokerage firm in \$2.5 million federal court lawsuit brought by about 30 plaintiffs alleging federal and state securities, RICO and other statutory and common law liability. This lawsuit was combined with six others into a multidistrict class action alleging \$150 million damages. After our initial discovery requests, threat of a summary judgment motion and brief negotiations, class plaintiffs agreed to dismiss client brokerage firm without prejudice. Class plaintiffs later settled with a number of defendants, and obtained a multimillion dollar judgment against a national accounting firm. Action was never revived against client brokerage firm, which avoided all liability.

1988. *Cussen et al. v. Horn Resources, Inc. et al.*, King County Cause No. 82-2-13401-5 (Washington State court). Defended attorney in suit alleging over \$500,000 damages plus attorney fees arising from three investors financing oil and gas business in which client-attorney acted as officer, director and legal counsel. Plaintiffs alleged securities fraud and common law liability. Obtained no liability, voluntary dismissal with prejudice of client-attorney by instigating other defendants, who were nearly insolvent, to assign their rights under a directors and officers insurance policy to plaintiffs. Then made claim against directors and officers liability carrier and obtained reimbursement for 80% of attorney fees.

1987. *Auty, et al. v. Teuscher/Badger Mountain South*. Defended attorney in securities/RICO case brought by investor in real estate syndications. Obtained no liability dismissal.

1986. *Burris v. Philatelic/Wilkinson*, King County Cause No. 85-2-198891. Defended securities broker in suit involving stamp program tax shelter. Obtained no liability dismissal.

1985. *Howey v. Michie*, Spokane County Cause No. 84-2-00505-4. Defended attorney in suit alleging state securities and other liability brought by investor in plastics business in which attorney was involved. Obtained no liability defense verdict at bench trial in Spokane.

1984. *Anderson v. Aurotek, Inc.*, reported at 774 F.2d 927 (9th Cir. 1986). Prosecuted securities fraud and related claims in gold mining tax shelter against promoters and affiliated professionals. Obtained \$500,000 summary judgment for plaintiffs. Summary judgment was affirmed as to some and reversed as to other defendants on appeal, then settled.

1983. In re WPPSS Securities Litigation, MDL No. 551. Acted as securities litigation strategist on team of Lane Powell attorneys defending Oregon Public Utility Districts in \$2.2 billion class action brought by thousands of public utility bond purchasers. One of the earliest “fraud on the market” cases. Formulated defense that market makers were aware of the allegedly concealed information, which was factored into the market price, thereby refuting bondholders’ contention they paid prices artificially inflated by concealment of adverse information. Procured extremely favorable settlement.

Examples of Commercial Litigation - e.g., Employment/Non-Competition/Trade Secrets/Unfair Competition Cases.

2008-2010. *Abigail Investments v. Urquhart v. Abigail, Mainland Resources et al.*, Case No. 2:09-cv-1174-JCM-GWF (USDC NV); Defended several companies and individuals named in counterclaim by consulting oil and gas engineer for \$5 million in stock and \$6 million in lost profits and coordinated tactics of numerous defendants’ counsel. After motions to dismiss for lack of personal jurisdiction were granted and further dismissal motions, answers and counterclaims were filed, our side’s counterclaim sparked a settlement of a confidential amount roughly one-third of an initial offer we made a year earlier and about one-tenth of our side’s estimated defense costs through trial.

Prosecuted several injunction and damages cases against departed securities brokers for violation of customer non-solicit and trade secret violations. Obtained one-year injunction in one case and settled another by setting off damages against reciprocal recruiting claim by competing broker-

dealer.

2006-2007. (WDWA No. CV-01669MJP and NASD Case No. 06-05017). Obtained federal court TRO extended at expedited arbitration hearing. Represented securities firm enforcing customer non-solicit and non-disclosure covenants against former brokers at competing firm pending completion of publicly announced asset sale. Procured favorable settlement after asset sale consummated.

2005. *Aetna v. Compana*. Teamed with partner to defend healthcare company in appeal from ICANN proceeding over Internet domain name and prosecuted counter-claims covering six additional domain names and alleging trademark infringement, cyber-squatting, and unfair compensation. Case settled after six domain names covered by counter-claims were returned by opposing party and its appeal was dismissed.

2001-2004. *Johnson International vs. Bailey Lumber*. Defended and settled numerous restrictive covenant cases, including preliminary advice to worldwide lumber distributor and its recruit to avoid TRO and preliminary injunction, and obtain dismissal without damages, based on structured marketing activities allowing highly productive recruit to work without violating employment contract prior to expiration of restrictions.

2000. *Morgan Stanley Dean Witter*. Defended firm and manager in industry arbitration commenced by former employee-stockbroker alleging \$3 million damages due to ethnic origin discrimination, defamation and wrongful termination/constructive discharge. Procured dismissal of discrimination claims before hearing and no-liability dismissal of remaining claims after hearing, and no forum fees were allocated to firm.

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2000. *Defended Robbins Research, Inc. and Tony Robbins* in trade secrets case in state court in Washington brought by Wade Cook Seminars. Settled in December, 2000.

2000. Confidential case. Prosecuted claims for wrongful termination/constructive discharge whistleblower retaliation, disability discrimination and tortious interference against former employer. Procured multi-million dollar award including major punitive damage component and attorney fees. Entered highly favorable settlement on appeal and agreed to confidentiality.

2000. *First Union*. Defended recruiting firm and brokers in three cases brought by recruits' former employer who alleged breach of non-compete and trade secrets misappropriation. One case settled after TRO. Two were contested. Procured dissolution of TRO and denial of preliminary injunction in both contested cases. In one case defended raiding and unfair competition claims for \$1 million actual and \$1 million punitive damages. Award limited to \$240,000 (less than our settlement offer).

1999-2000. *Quantum Vision and Preston Christensen*. Opposed and defeated TRO and preliminary injunction motions brought by Wade Cook Seminars against former Wade Cook speakers, employees and competing seminar firms. Cook alleged unfair competition, breach of contractual provisions imposing competitive restraints and misappropriation of trade secrets.

1998. *Heath & Co.* Teamed with partner to secure preliminary injunction in Seattle federal district court for trademark infringement and unfair competition on behalf of national sign company then

1997-1998. Sealed file. Represented plaintiff acquiring firm in \$10 million federal court lawsuit for securities fraud and breach of stock sale contract warranties. Advised client to allege breach of warranties resulting from prior managers' pattern of sexual harassment in violation of state and federal law. Also advised client to terminate employment agreements of manager-founders, confiscate their laptop computers and analyze deletions. Experts retrieved deleted financial information revealing fraud, and defendants settled for almost entire amount demanded.

1997. Canyons Restaurant. Prosecuted injunction action for trademark infringement and unfair competition on behalf of local client-restaurateur against new restaurant chain in local market. New restaurant chain had national registration rights. Secured preliminary injunction for Puget Sound region, then obtained permanent injunction in settlement. Opposing party, represented by prominent intellectual property firm, changed name for restaurants in this region.

1997. Aramark. Represented seller of business segments in AAA arbitration in which seller claimed breach of contract, misappropriation of trade secrets, unfair competition and fraud, settled case after mitigation efforts eliminated most of the damages.

1997. Various Securities Broker Recruiting Cases. Advised stockbrokers in Alaska, Texas and Florida. Represented Alaska brokers in federal court and NASD emergency proceedings and prosecuted counterclaims against Merrill Lynch for sex discrimination, retaliation and unfair competition. Entered favorable settlement vacating TRO. Defended former Piper Jaffray brokers recruited by Everen Securities in injunction proceedings involving noncompetition, non-solicitation and trade secrets covenants. TRO vacated and preliminary injunction denied, then case settled.

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1996. InstruMed. Prosecuted claims for willful trademark infringement and unfair competition through federal court jury trial. Secured verdict of willful infringement and unfair competition and award of damages, costs and attorney fees. Defendant was represented by prominent intellectual property law firm.

1995. First Health Care Products. Teamed with partner defending local client in federal court Lanham Act case in which former distributor alleged false advertising, unfair competition and misappropriation of trade secrets. Advised action by client that eliminated damages, then settled for minimal amount.

1994. Smith & Nephew United, Inc. Defended Florida-based medical products distributor in federal court case brought by demoted regional sales manager who quit and claimed constructive discharge and sex and pregnancy discrimination. Settled case shortly before trial.

1994. Albar, Inc. Served as special master appointed by JAMS judge in dispute over closely held corporation buy-out of minority shareholder/president by majority shareholder. Advised arbitration judge on issues of shareholder, director and officer responsibility, stock valuation, employment agreement, business fraud, trade secrets and other claims. Supervised payment of suppliers and corporate activity during period pending arbitration hearing.

1993. Dean Witter Reynolds Inc. Defended brokerage firm, local branch manager and chief in-house attorney for Western Region who signed licensing form in \$2 million arbitration for constructive discharge, defamation and race discrimination. Obtained no liability dismissal.

1992. InstruMed. Secured injunction for client barring further exploitation of trade secrets by independent contractors who had worked for client to develop electronic tourniquet inflation machine. Client had no written consulting agreement and opposing parties were represented by prominent attorneys in the area.

1990. Holiday Inns. Defended national franchisor against \$10 million damage claims by franchisee for wrongful termination, breach of agreements and related torts. Developed counterclaims for fraud and evidence that plaintiff's losses were caused by personnel defection due to pattern of sexual harassment. Case settled for nothing.

1990. Re Microprobe. Represented individual who was founder, chief scientist and substantial shareholder of molecular biology firm, Microprobe. Client, a former Immunex scientist, sought relief from shareholder, inventions and employment agreements. Worked out mutually satisfactory termination agreement separating out intellectual property of client from that of former business. Worked with trade secret molecular biological theories incomprehensible to anyone other than the scientists involved.

1989. McBride Scientific Services v. Eldec, Inc. Served as sole AAA arbitrator in dispute between local electronics firm and Texas distributor. Discovery involved confidential documents regarding sales figures and other internal business data of parties. Conducted hearing and ruled.

1987. Datec, Inc. v. Hogberg. Served as sole AAA arbitrator in dispute between former manager of computer service and support firm involving common law trade secrets, covenant not to compete and unfair competition claims. Conducted hearing and ruled.

1985. Convertpac. Filed declaratory judgment action to relieve purchaser of paper products business from covenant not to compete and common law trade secrets obligations arising from aborted purchase. Conducted trial and secured relief from covenant well beyond settlement offers.

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Representative Clients

A.G. Edwards. (Local Counsel)

Banc of America Investment Services, Inc. and Banc of America Securities, LLC (Local counsel in customer and recruiting cases)

Datek Online. (Local counsel)

InterSecurities, Inc. (Defended customer claims in Idaho court and NASD arbitration)

Jefferson Pilot Securities Corp. (Handled matters in the Pacific Northwest, Southeastern, Midwestern and Western United States)

Lincoln National Life Insurance Company of Indiana. (Defended industry and customer claims in Pacific Northwest)

McDonald Investments. (Local counsel in recruiting cases)

Morgan Stanley. (Outside regional counsel for states in Pacific Northwest)

Nathan & Lewis Securities. (Special counsel on Virginia matters)

Pershing. (Local counsel)

Sentra Securities Corporation. (Defended in MDL class action, advised in recruiting matters nationally, and served as local counsel defending customer claims)

Shearson Lehman Hutton. (Moved several cases from court to arbitration and advised in-house counsel; helped local manager avoid CBOE disciplinary action; have represented individual brokers associated with Salomon Smith Barney)

Titan Value Equities Corporation. (now Mutual Service Corp.). (Local counsel)
Wachovia Securities. (formerly First Union - defended industry recruiting cases)
Walnut Street Securities. (Local counsel)
Wedbush Securities. (Handled several arbitrations and assisted in regulatory matter)
Wells Fargo Advisers. (Local counsel)
World Group Securities. (Defended customer cases in Pacific Northwest for WGS and predecessor, WMA Securities)

Publications and Speaking Engagements

“Departing Employees and Intellectual Property,” Law Seminars International, 2009 (Co-author and speaker).
“Recent Broker-Dealer Developments in FINRA Regulation, Arbitration and Litigation,” Northwest Securities Institute, 2009 (Co-author and speaker).
“Defending Claims Brought By Regulators,” National Business Institute Seminar, 2008 (Author and speaker).
“The Liability of Representing Financial Interests,” The Seminar Group CLE, November 3, 2006 (Program co-chair and speaker).
“Corporate Trade Secret Protection in Washington,” National Business Institute CLE, January 12, 2004 (Co-author and speaker).
“Money Troubles: Pursuing and Defending Claims Against Stockbrokers and Brokerage Firms,” King County Bar Association CLE, November 8, 2001 (Co-author and speaker).
“Competing for Talent and Protecting Business Value: Non-Compete Agreements and Trade Secret Law in Washington,” Washington State Bar Association’s Fifth Annual Intellectual Property Institute, March 24, 2000 (Co-author and speaker).
“Stockholder Lawsuits – Inviting and Avoiding Them,” Washington State Bar Association Business Law Institute, March 2-3, 2000 (Co-author and speaker).
“Representing the High Technology Firm,” King County Bar Association, October 20, 1999, co-chair; Competing for Talent and Protecting Business Value: Non-Compete Agreements and Trade Secret Law in Washington (Author and speaker).
“Stockbroker Fraud in Washington: Defenses Utilized by the Stockbroker or Broker/Dealer,” National Business Institute Seminar, October 5, 1999 (Author and speaker).
“Stockbroker Litigation: Pursuing and Defending Claims Against Stockbrokers and Brokerage Firms,” King County Bar Association CLE, November 6, 1998 (Author and speaker).
“The Nuts and Bolts, Putting Together a Fraud Case,” Washington State Bar Association CLE, The Lawyer as Detective, December 1997 (Author and speaker).
“Ethical Issues Often Encountered in Securities Matters,” Seventeenth Annual Northwest Securities Institute, February, 1997 (Author and panel speaker).
“Litigation Update, Broker-Dealer Control Person Liability After *Hollinger v. Titan Capital*,” Eleventh Annual Northwest Securities Institute, February 1991 (co-author and panel speaker).

Awards and Honors

Peer Review Rated “AV” in Martindale-Hubbell

Professional and Community Activities

King County Bar Foundation, Board of Directors
Washington Society of Certified Public Accountants
Seattle Economists Club
American Association of Attorney-Certified Public Accountants