

## Sample Background Information Statement

*The following contains three different sample background information statements. Your background information statement is part of the arbitrator disclosure report and will be provided to the parties. FINRA encourages you to provide a detailed background information statement.*

*You should use this sample only as a guide, and you should ensure your own statement is accurate, current, complete and comprehensive. A resume may not be substituted for the background information statement.*

*You should identify any industry members that you have represented or by whom you have been employed. If you are an attorney or an accountant, please provide details about the specific nature of your current practice.*

*Please remember you have a continuing obligation to provide FINRA with accurate, current and complete information. Please notify your regional office if there are any changes in your availability status. Updates to your disclosure report should be made directly through the DR Portal.*

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### General Business and Professional

Since 2021, I have been employed as the Executive Vice President of the Capital Markets Group of XYZ, Inc. in New York City. My responsibilities include directing all aspects of equity and bond issues for XYZ's clients. I also oversee all SEC reporting requirements. My progress reports are used by the Chief Financial Officer in his daily reporting. My focus in this role includes developing new clients.

From 2004 to 2007 I worked for ABC Brokerage as an analyst working with pharmaceutical industry stocks. At DEIF Securities from 2007 to 2010, I primarily made buy and sell recommendations and was promoted to Director of Research and Information Systems in 2010. Until 2017, I personally designed and maintained all DEIF's quantitative computer programs used by analysts and traders. From 2017 to 2021 I was Senior Vice President at Brokerage Securities where I was the Director of the Corporate Finance Department.

Additionally, I was a Captain in the U.S. Army Reserves from 2002 to 2005, serving as a Company Commander. I received an honorable discharge in 2005. Presently, I enjoy my membership in the Clarksville Rotary Club and am active in the local PTA.

### Attorney/Accountant

Since 2018, I have worked at Smith Bank as Vice President and General Counsel. In this role, I am responsible for the Litigation Department, which oversees all cases involving allegations of securities fraud, internal labor controversies, and allegations concerning shareholder/management disputes. My responsibilities also include supervising 14 attorneys and screening cases to determine which ones can be settled, which ones should move forward, and delegating litigation to outside law firms.

I worked for the U.S. Securities and Exchange Commission as a Senior Staff Attorney from 2002 to 2008. I litigated insider trading cases and accounting fraud cases. In 2005, I was promoted to Assistant Director of Enforcement, where I supervised 12 attorneys and 18 examiners.

In 2009 I worked for Sherman Stein in Jersey City, New Jersey as an Associate in the Securities Department. My duties included transaction and litigation support for the equity and bond issues. In 2016 I was promoted to

Litigation Associate where my primary responsibility was defending major investment banks and insurance companies.

My professional activities include being Panelist for the New York Bar Association's Workshop on "Mediation and Arbitration as an Alternative Forum," April 2023. I also belong to numerous professional associations, steering committees and boards and value performing community service at-large as well as connecting with new people.

### **Real Estate Broker/Insurance Industry**

The bulk of my career has been in Real Estate sales and investing. I enjoy meeting people and have travelled extensively both intra-continentially and abroad.

I started my Real Estate Broker career in the greater Seattle area at Busy Home Finance in 2011. I was responsible for assigned Mortgage Loan Brokering and Lending and Real Estate Appraisals, and some general accounting. In 2014 I was promoted to Northern Area Manager with 3 agents reporting to me.

In 2016 I moved to TrueValue Mortgage, LLC of Seattle as Director of Escrows and was promoted to my current position of Chief Executive Officer in 2023. At the home office I direct and manage a staff of eight salespersons.

My experience and practice include managing a spectrum of modest-to-luxury home sales and turning over multi-million-dollar commercial properties. I am acutely aware that financial affairs can create a great deal of apprehension with anyone, and I have been told repeatedly that I have a comfortable demeanor and presence in working with numerous situations.

In my professional career I am accustomed to reviewing copious amounts of data, confidential and sensitive information, contract disputes, having to go back and ask for clarification of details and ensuring protocol is being followed. Also, I am a regular contributor to Building Owners and Managers Association (BOMA) International periodical, CIRE (Commercial Investment Real Estate) magazine, and two real estate blogs.