

CLIENT/COMPANY	GENERAL REFERENCE	CASE NAME/LOCATION DOCKET NUMBER	DATE(S)	TRAINING	MEDIATION	ARBITRATION	FACILITATION
MEDIATION/FACILITATION							
Mark Loye Jefferson County Mediation Service	Dispute over remodeling cost/work in a residence	Confidential	02/11 Settled at Mediation		✓		
Mark Loye Jefferson County Mediation Service	Dispute over deed-of-trust omission and reformation	Confidential	11/10 Scheduled Settled before mediation		✓		
Mark Loye Jefferson County Mediation Service	Dispute over performance of landscaping contract	Confidential	10/10 Settled at mediation		✓		
Mark Loye Jefferson County Mediation Service	Dispute over construction and materials	Confidential	01/10 Correspondence only; no hearing		✓		
Lisa Wilkins, Appraisal Bureau, Property Tax Division, State of New Mexico	IRS requirements for conservation easements	None	01/08/10		✓		✓
Mark Loye Jefferson County Mediation Services	Debt collection action	Confidential	01/09 Settled		✓		
Mark Loye Jefferson County Mediation Services	Homeowners Association Conflict	Confidential	07-08/08 correspondence only; no hearing				✓
Mark Loye Jefferson County Mediation Services	Dispute over unpaid credit debt	Confidential	06/08 Did not settle		✓		
Peter L. Buck The Buck Law Group	Laurelon Terrace Condominiums	Negotiations between The Children's Hospital (Buyer) and Laurelon Terrace Condominiums (Seller), re: a potential sale. Major considerations were price and opportunities.	03/04-08/08		✓		✓
The Counselors of Real Estate Mary Fleischmann	Chairman, NAR Special Committee		10/04-10/06				✓
The Counselors of Real Estate Mary Fleischmann	Chairman, Governance Task Force		10/03-10/04				✓
Moulton, Jennifer City and County of Denver	Residential Development at Denver Art Museum expansion/addition		04-10/02				✓
Robert Rothstein	West/Hunter Residences Bellevue, Washington		03/01		✓		

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Appraisal Institute William L. James Bruce C. Jolicoeur Bert L. Thomson	General Appraiser Council Study Group: MAI Designation Denver, Colorado		04/28-29/00				✓
City and County of Denver	McNichols Arena/Pepsi Center	Negotiations between Denver and Ascent Denver, Colorado	94-97		✓		✓
Hughes, Van Aaron Ireland, Stapleton, Pryor & Pascoe Vogt, Joann Rothgerber, Appel, Powers, and Johnson	Colorado Springs, Colorado	The Equitable Life Assurance Society of the United States vs Colorado Springs Service Center Partnership El Paso County District Court, Colorado Case No. 95 CV 1083 Denver, Colorado	07/26/96		✓		
ARBITRATION							
FINRA Christina Rovira	Chairman for three-person panel	James Washsman vs American Portfolios Financial Services, Inc. and Joe Edward Birkinbine	08/22/11			PHCC	
FINRA Christina Rovira	Chairman for three-person panel	Maybeth Emerson vs Stephen Enochs et al FINRA File Number 10-01936	11/09/10 04/11-13/11 12/13/10 03/28/11			PHCC Scheduled Subpoena issued Settled	
FINRA Ilanthe Phillips	Chairman for three-person panel	John Henderson, et al vs Edward D. Jones & Co FINRA File Number 09-06828	06/03/10 12/29/10 01/07/11 03/15-18/11			PHCC Subpoena issues Discovery CC with Chairman Scheduled Postponed Settled	
FINRA Audrey Phillips	Chairman for three-person panel	Greg M. Marthaler, on behalf of his individual retirement account vs FSC Securities Corporation, Jeffrey C. Eisnagle, et al FINRA File Number 09-04681	01/12/10 11/15-18/10			PHCC Scheduled Postponed	
FINRA Audrey Phillips	Chairman for three-person panel	Timothy J. and Linda Keefe vs LPL Financial Corporation FINRA File Number 09-02944	10/27/09 04/14-15/10 03/31/10			PHCC Scheduled Settled	
FINRA Paula Union	Panelist for three-person panel	Amanda L. and Walter Sawicki vs David Len Strickland FINRA File Number 09-02301	10/28/09 06/07-11/10 05/25/10			PHCC Scheduled Settled	
FINRA Paula Union	Panelist for three-person panel	Sally Geis vs Charles Schwab FINRA File Number 08-04957	06/03/09 08/03/09			PHCC Hearing	
FINRA Derek Sorrells	Panelist for three-person panel	Lori Colina-Lee vs Charles Schwab FINRA File Number 08-03381	01/22/08 03/02-05/10 06/05/09			PHCC Opted out Scheduled Settled	
NASD Audrey Phillips	Panelist for three-person panel	Linda Czajkowski IRA vs Raymond James Financial NASD File Number 07-01132	08/20/07 05/07-08/08 04/29/08			PHCC Scheduled Settled	

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NASD Audrey Phillips	Panelist for three-person panel	Janet G. Sawyer & Rebecca L. Sawyer vs Dain Rauscher and John J. Lainson NASD File Number 06-00389	07/19/06 02/06-08/07 10/26/06 11/21/06			PHCC Scheduled Settled PHCC RE: Expungement	
NASD Audrey Phillips	Chairman for three-person panel	Eric R. Ely vs Piper Jaffrey & Co NASD File Number 05-05997	03/10/06 04/10/06			PHCC Rescheduled Postponed PHCC Bowes challenged for cause	
NASD Patrick Walsh	Panelist for three-person panel	David Cope vs Dorothy Margaret Mechitenberg, et al NASD File Number 05-00575	06/30/05 12/05-07/05			PHCC Hearing	
NASD Patrick Walsh	Chairman for three-person panel	William D. Anderson, et al, vs Citygroup Global Markets NASD File Number 04-07545	06/15/05 08/26/06			PHCC Scheduled Opted-out Inactive status	
NASD Patrick Walsh	Chairman for three-person panel	Thomas Kim vs CUSO Financial Services, et al NASD File Number 04-05405	01/19/05 06/15/05 02/06-10/06			PHCC PHCC Hearing	
NASD Patrick Walsh	Panelist for three-person panel	William H Price, III, Trust vs Randall S. Russel and Wachovia Securities NASD File Number 03-05197	02/27/04 10/11-14/04			PHCC Hearing	
NASD Patrick Walsh	Panelist for three-person panel	James C. and Schrader R. Randall vs Prudential Securities, et al NASD File Number 03-04635	02/03/04 11/30-12/2/04 04/26-28/05			PHCC Scheduled Postponed Hearing	
NASD Elodia Huicochea	Chairman for three-person panel	Marilyn Bost vs Presidential Brokerage, et al NASD File Number 02-06381	11/13/03 08/23-27/04 10/11-14/04 02/18/05 08/16-19/05 10/11-12/05			PHCC Scheduled Alternative Postponed PHCC Continued Hearing	
NASD Elodia Huicochea	Chairman for three-person panel	Lawrence S Melvin, Jr. vs Morgan Stanley, et al NASD File Number 03-00846	10/17/03 12/09/03 05/25-28/04			PHCC PHCC Scheduled Settled	
NASD Elodia Huicochea	Chairman for three-person panel	Gary T. Zoffelato and Debra E. Zoffelato vs Bruce D. Hinchby and Financial Concept and Solution NASD File Number 02-02943	03/07/03 01/21-23/04			PHCC Settled at hearing	
NASD Elodia Huicochea	Panelist for three-person panel	Wachovia Securities vs Robert C. Smith NASD File Number 02-04086	02/11/03 08/20-22/03 01/13-14/04 11/01 -04/04			PHCC Scheduled Postponed Scheduled Postponed Scheduled Settled	

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NASD Patrick Walsh	Panelist for three-person panel	Lauren and Pauline Pratt vs Royal Alliance Associate, et al NASD File Number 02-01109	09/18/02 01/28-30/03			PHCC Scheduled Settled	
Judge Norma Venso 56 th Judicial District Court Galveston, TX	Party-selected arbitrator BP/ Amoco refinery Texas City, TX	Amoco Oil Company vs Galveston Central Appraisal District	08/02-07/03 06/16-27/03			✓ Hearing	
Carlson, Bruce C. Delaware North Companies	Party-appointed arbitrator Concessions at Yellowstone National Park. Possessory interests	Hamilton Stores; Delaware North Parks Services	03/02-02/03 02/12-26/03			✓ Hearing	
NASD Patrick Walsh	Chairman for three-person panel	Garza vs Elite Investments NASD File Number 01-06767	05/07/02 07/18-19/02			PHCC Hearing	
NASD Susan M. Kozacik	Panelist for three-person panel	David E. Murphy vs Kirlin Securities et al NASD File Number 01-01936	08/03/01 09/24/01 10/10/01 11/12/01 01/17/02 05/29-30/02 10/24-25/02			PHCC PHCC PHCC PHCC Cancelled PHCC Scheduled Postponed Scheduled Settled	
NASD Susan M. Kozacik	Panelist for three-person panel	Bigelow & Company vs CE Unterberg et al NASD File Number 00-05104	04/26/01 05/11/01			PHCC Bowes challenged for cause	
NASD Susan M. Kozacik	Chairman for three-person panel	Betty Rose Gonzales vs Jefferson Pilot Securities Corp & Andrew P. Weis NASD File Number 00-03603 Denver, Colorado	01/22/01 05/09/01 05/17/01 08/08/01			PHCC PHCC PHCC Hearing	
NASD Susan M. Kozacik	Chairman for three-person panel	James E. Clausius vs Alex Medvedovsky et al NASD File Number 01-00523	01/18/01 08/20/01 08/28/01 02/26/02 04/02/02 04/10-12/02 10-21-23/02			PHCC PHCC PHCC PHCC PHCC Scheduled Postponed Scheduled Settled	
NASD Susan M. Kozacik	One-person panel	Kay H. Williams vs U.S. Bancorp Investment, Inc, and Steven Ehman NASD File Number 99-04316 Denver, Colorado	02/29/00 08/18/00			PHCC Scheduled Settled	
NASD Susan M. Kozacik	One-person panel	Gerald Witt vs Jonathon Thaum, Darren Silverman, Adam Green, Louis Nolso, and Steven C. Staltare NASD File Number 98-03061 Denver, Colorado	02/25/00 03/20/00 07/20-21/00			PHCC PHCC Scheduled Settled	
NASD Edward T. Anderson	Panelist for three-person panel	Mary G. Reed vs Solomon Smith Barney and William S. Precise NASD File Number 99-02650 Denver, Colorado	01/20/00 05/22-24/00			PHCC Scheduled Settled	

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TRAINING							
FINRA	Arbitrator Training – Motion to Dismiss Rule		04/03/09	✓			
Jefferson County Mediation Services	Mediation Services Training		04/03/08	✓			
	Volunteer Colloquium		03/17/09	✓			
	Volunteer Colloquium		11/16/10	✓			
	Volunteer Colloquium		01/18/11	✓			
	Volunteer Colloquium		03/15/11	✓			
	Volunteer Colloquium		05/17/11	✓			
CAMP	Training and Orientation		03/11/08	✓			
NASD	Revised Code of Arbitration Procedure Training		10/07	✓			
NASD	Chairperson List		11/06	✓			
CRE	Dispute Resolution Role Play – Mediation Simulation Chicago, IL		11/15/05	✓			
CAMP	Training and Orientation		11/07/05	✓			
NASD	Expungement Training – Online		11/29/04	✓			
National Association of Realtors	Mediator/Mediation Training Chicago, Illinois		08/01-03/01	✓			
NASD	Chairperson Training for Arbitrators Denver, Colorado		10/25/00	✓			
CDR	The Mediation Process Boulder, Colorado		10/16-20/00	✓			
NASD	Panel Member Training Orlando, Florida		11/07/99	✓			
AAA	Commercial Rules Training Denver, Colorado		1 day	✓			

REFERENCES

AAA: American Arbitration Association
 NASD: Arbitrator Training Portfolio
 CDR: The Mediation Process notebook
 NASD: Chairperson Training materials
 NAR: Mediator/Mediation Training notebook
 ACR: Association for Conflict Resolution; Member
 FINRA: The Neutral Corner (Volume 4-2011), arbitrator disclosure
 The Dynamics of Conflict Resolution; A Practitioner's Guide; Bernard Mayer
 Getting to Yes; Roger Fisher, William Ury, and Bruce Patton
 The Art of War; Sun Tzu
 How to Out Negotiate Anyone (Even a Car Dealer!); Leo Reilly
 Difficult Conversations, How to Discuss What Matters Most; Douglas Stone, Bruce Patton, Sheila Heen
 Parenting With Love and Logic; Foster Cline, Jim Fay