

**THIS IS A SAMPLE ARBITRATOR DISCLOSURE REPORT. THIS IS FOR INSTRUCTIONAL PURPOSES ONLY.**

## Arbitrator Disclosure Report

Information on the Disclosure Report cannot be removed. FINRA will remove information only if it is factually incorrect.

Report reflects information provided by the arbitrator through 09/23/2011

**Name:** Ms. Jane Arbitrator  
**Arbitrator ID:** A99999  
**CRD #:**  
**City/State/Country:** Boston / MA / United States  
**Classification:** Public  
**FINRA Mediator:** No  
**Chair Status:** None

### ARBITRATOR

**Skills in Controversy:**  
 Employment - Retaliation, Employment - Wrongful Termination

FINRA lists skills only if the arbitrator has provided a summary of qualifications substantiating the skills.

**Skills in Securities:**  
 Auction Rate Securities

The City and State reflect the arbitrator's primary residence. They do not reflect the arbitrator's hearing location.

**Injunctive Qualified -** This arbitrator is an attorney and has reported experience litigating cases involving injunctive relief.

### EMPLOYMENT

<u>Start Date</u>	<u>End Date</u>	<u>Firm</u>	<u>Position</u>
11/2009	Present	Special Media Group	VP Human Resources
01/2005	11/2009	Brown Medical Associates	Director of Labor/Emp. Rel.
01/1983	12/2004	MA Department of Education	Counsel
06/1982	01/1983	Middlesex County District Attorney	Director Public Information

### EDUCATION

<u>Start Date</u>	<u>End Date</u>	<u>School</u>	<u>Degree</u>
09/1979	05/1982	Suffolk University Law School	JD
09/1975	05/1979	Boston University	BS Journalism

### TRAINING

<u>Completed</u>	<u>Description</u>	<u>Details</u>	<u>Firm/School</u>	<u>Hours</u>	<u>Location</u>
06/2010	Explained Decision Training		FINRA	1	
04/2009	Duty to Disclose online mini-course	Unless specified otherwise, FINRA will automatically add completed online arbitrator trainings offered through FINRA's Learning Management System. Arbitrators do not need to provide confirmation of completion to FINRA.	FINRA	14	
03/2009	Expungement - 2008 Refresher		FINRA	1	
05/2008	Discovery/Abuse online course		FINRA	1	
03/2007	Revised Code of Arbitration		NASD	2	online
12/2004	Employment Law Training		AAA Labor Arbitrator Tng.	3	
10/2004	Expungement online mini-course		NASD	1.5	online
11/1997	New Panel Member Training [NASD]		NASD	11	Boston, MA
06/1994	Non-Securities Related Training	Harvard Law - Negotiation Pgm.	30		

**DISCLOSURE/CONFLICT INFORMATION**

<u>Type</u>	<u>Firm Name</u>	<u>Details</u>
Related Conflict With	Best Securities	Conflict due to a merger/acquisition
Has an account with	ABC Securities Corporation	Brokerage Account
Has an account with	Manager's Best	401k
Related Conflict With	Blue Securities	Conflict due to a merger/acquisition
Had an account with	XYZ Financial Services, Inc.	
Arbitrator for		American Arbitration Association
Licensed to Practice Law in	Massachusetts	

The Disclosure/Conflict section includes any existing or past financial, business, professional, family, social or other relationships or circumstances that is likely to affect impartiality or might reasonably create an appearance of partiality

**PUBLICLY AVAILABLE AWARDS**

Publicly Available Awards Section, Current as of 09/27/2011

<u>Case ID</u>	<u>Case Name</u>	<u>Close Date</u>
09-29998	Sydney C. Star v. Bostonian Securities LLC and John J. Smith	03/17/2011
09-98996	Joseph and Molly Jefferson v. Blue City Securities and Mary Smith	09/30/2011
07-88989	Jaqueline Keaner Smith v. Action Securities Corporation	09/28/2009

The Publicly Available Awards section will be updated automatically when an award is rendered and the case is closed.

**CASES CURRENTLY ASSIGNED INVOLVING PUBLIC CUSTOMERS**

<u>Case ID</u>	<u>Securities Firms and Associated Persons</u>	<u>Date Assigned</u>	<u>Role</u>
09-87878	John Investor v. Securities Group Limited	09-30-2009	Panelist

**CASES CURRENTLY ASSIGNED NOT INVOLVING PUBLIC CUSTOMERS**

<u>Case ID</u>	<u>Securities Firms and Associated Persons</u>	<u>Date Assigned</u>	<u>Role</u>
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There are no currently assigned cases.

**ARBITRATOR BACKGROUND INFORMATION**

In November 2009, I was named Vice President, Human Resources, Special Media Group. Special Media Group is a media company comprised of newspaper and magazines. Before this I was the Director of Labor and Employment Relations for Brown Medical Associates, a large health care organization with 4000 employees. In this role, I negotiate collective bargaining agreements and advise management on all aspects of the employer/employee relationship.

Previously, I practiced law in the public sector as Counsel at the Massachusetts Department of Education where I reported directly to the Director and participated in a number of statewide initiatives and labor/management committees. In this role, I also litigated employment related cases in a variety of forums.

To maintain accuracy and consistency, arbitrators should review and update their background information when making changes to other sections of the Disclosure Report.