

EDUCATION

YALE LAW SCHOOL, J.D., *Yale Journal on Regulation*, Latinx Law Students Association, (Member and Executive Committee), Collective of Women of Color in the Law, Housing & Community Development Clinic (Student Director), Non-Profit Organizations Clinic, Dean's Advisor

BRENAU WOMEN'S COLLEGE, B.S. in History & Political Science, *summa cum laude* and high honors in liberal studies, Outstanding Graduate in History & Political Science, Mary Mildred Sullivan Award, Alpha Lambda Delta, Gamma Sigma Alpha, Omicron Delta Kappa, Order of Omega, Phi Alpha Theta, Brenau Scholar (merit scholarship)

ACADEMIC APPOINTMENTS

DREXEL UNIVERSITY KLINE SCHOOL OF LAW, Associate Professor of Law (2019-)

- Courses taught: Civil Procedure, Business Organizations, Securities Regulation
- Affiliated Faculty, Center for Law and Transformational Technology

GEORGIA STATE UNIVERSITY COLLEGE OF LAW, Associate Clinical Professor with clinical tenure (1/2013-6/2019), Director, Investor Advocacy Clinic

- Courses taught: Business Arbitration Practicum, Civil Procedure II, Complex Litigation, Investor Advocacy Clinic, Professional Responsibility
- Affiliated Faculty, Center for Access to Justice

MERCER LAW SCHOOL, Visiting Assistant Professor (fall 2012)

- Courses taught: Civil Lawsuits, Law of Lawyering

VANDERBILT LAW SCHOOL, Instructor in Law (2011-2012)

- Courses taught: Legal Writing I & II

PUBLICATIONS

Law Journals

Investor Justice, 109 MINN. L. REV. __ (forthcoming 2025)

- Featured on [inSecurities Podcast](#) (July 12, 2024)

Small Claims Securities Arbitration, __ PENN. J. BUS. LAW __ (forthcoming 2024)

- Featured on [Business Scholarship Podcast](#) (Apr. 8, 2024)

Teaching Twitter's Takeover, 53 STETSON L. REV. 296 (2024) (invited symposium)

A Model for Post Pandemic Remote Arbitration?, 52 STETSON L. REV. 393 (2023) (invited symposium)

Coding and Collaboration: Data Analytics in the Law School Classroom, 23 TENN. J. BUS. L. 202 (2022) (with Charlotte Alexander)

Structural Barriers to Inclusion in Arbitrator Pools, 46 WASH. L. REV. 1389 (2021)

Winning, Defined? Text-Mining Arbitration Decisions, 42 CARDOZO L. REV. 1695 (2021) (with Charlotte Alexander)

Finding Light in Arbitration's Dark Shadow, 4 UNLV L. FORUM 1 (2020)

Rethinking Automated Investment Adviser Disclosure, 50 U. TOL. L. REV. 433 (2019) (invited symposium)

Computer as Confidant? Fiduciary Duty and Robo-Advisers, 93 CHI. KENT L. REV. 141 (2018) (invited symposium)

Crafting Comment Letters: Teach Policy, Develop Skills, and Shape Pending Regulation, 18 TENN. J. BUS. L. 381 (2016) (with Benjamin P. Edwards)

Practice Ready Lawyers Don't Just Represent Clients: Experiential Education for the Business of Law, 16 TENN. J. BUS. L. 373 (2015)

Contributions to Books

Rethinking Automated Investment Adviser Disclosure, in K. Thomas Liaw, THE ROUTLEDGE HANDBOOK OF FINTECH (Routledge, UK) (2021)

Courtney Anderson, Jessica Gabel Cino, Nicole G. Iannarone and Leslie Wolf, *Experiential Learning Across the Curriculum: Options for Every Class*, in Emily Grant, Sandra Simpson & Kelly Terry (co-editors) EXPERIENTIAL EDUCATION IN THE LAW SCHOOL CURRICULUM (2017)

Works in Progress

Private Adjudication of Public Information

Gender and Small Claims Arbitration (with Charlotte Alexander)

Public Participation in Self-Regulatory Organization Rulemaking (with James Tierney)

Other Selected Publications

Comment in Response to Securities Exch. Act Rel. No. 34-10024, FINRA File No. SR-FINRA-2024-008 (providing for use of Discovery Guide in paper and special proceedings) (June 18, 2024)

[Comment in Response to Securities Exch. Act Rel. No. 34-98703, File No. SR-FINRA-2023-013](#)

(revising qualifications for appearing in FINRA proceedings to bar compensated non-attorney representatives) (May 8, 2024)

Nicole G. Iannarone & Darlene Pasieczny, [Discovery Abuse in Customer Cases](#), FINRA NEUTRAL CORNER (Vol. 3 2022)

Nicole G. Iannarone & Christine Lazaro, [Comment in Response to Securities Exch. Act Rel. No. 34-95092, File No. SR-FINRA-2022-015](#) (requiring disclosure of designation of restricted firm on BrokerCheck reports) (July 7, 2022) (primary author)

- covered in Benjamin P. Edwards, [BrokerCheck Changes](#), Business Law Prof Blog (July 14, 2022)
- quoted in Tracey Longo, [Finra Wants to Start Identifying 'Restricted' Firms on BrokerCheck](#), Financial Advisor (July 18, 2022))

[Comment in Response to FINRA Regulatory Notice 22-09](#) (expedited arbitration proceedings for senior and seriously ill parties) (May 16, 2022)

- covered in Benjamin P. Edwards, [Regulatory Delays and a Proposal to Accelerate Certain FINRA Arbitrations](#), Business Law Prof Blog (May 26, 2022))

Nicole G. Iannarone and Christine Lazaro, [Investor Protection Requires Access to Representation](#), Financial Planning Magazine (Dec. 16, 2021)

- covered as Article of Interest in Securities Arbitration Alert 2021-48, <https://secarbalert.com/wp-content/uploads/2021/12/SAA-2021-48-Dec.-23-FINAL.pdf> (Dec. 23, 2021)

Nicole G. Iannarone, Gabrielle Beers, and Emma Schurmeier, *Ethically Remote? Virtual Representation in FINRA Arbitration*, 28 PIABA BAR J. 337 (2021)

Nicole G. Iannarone & Kaitlyn Barlow, *Ensuring Diversity and Inclusion in the FINRA Arbitration Forum*, PLI Securities Arbitration Program Materials (2021)

[Comment in Response to FINRA Regulatory Notice 21-17](#) (diversity and inclusion in broker-dealer industry) (June 25, 2021)

- covered in Benjamin P. Edwards, [FINRA Diversity Initiative](#), Business Law Prof Blog (July 1, 2021)

Nicole G. Iannarone, Kaitlyn Barlow, and Olivia Szumski, *FINRA Arbitration in an Online World: Ethical and Practical Considerations*, 27 PIABA BAR J. 341 (2020)

Nicole G. Iannarone and Mary Kate McDevitt, *Representing Clients with Diminished Capacity*, 27 PIABA BAR J. 381 (2020)

What Every Attorney Should Know About Technology in Practice, 26 PIABA BAR J. 59 (2019)

Ethics: A Law Practice Diagnostic, PIABA Securities Law Institute Materials (Oct. 2019)

Professionalism and Bias, Advocacy for Action Empowerment Summit Seminar Materials
(Oct. 20, 2018)

Nicole G. Iannarone & Benjamin Dell'Orto, *Representing the Judiciary: Ethical and Professional Dimensions of Social Media for Georgia Law Clerks* (Oct. 2018)

[*Bringing Wall Street to Main Street: SEC Invites Atlanta Investors to Georgia State Law for an Interactive Town Hall*](#) (June 11, 2018)

Lawyers Need to Know About Technology in Practice, ICLE/ICJE Social Media and Technology for Lawyers and Judges Seminar Materials (May 2018)

[*Comment in Response to FINRA Regulatory Notice 17-34*](#) (compensated non attorney representatives in arbitration) (Dec. 18, 2017)

[*Comment in Response to FINRA Special Notice: Engagement Initiative*](#), primary author (June 19, 2017)

ABA Prohibits Bias in Law Practice, Georgia State Law Alumni Magazine (Winter 2017)

[*Comment in Response to RIN 1210-AB79*](#), Department of Labor Proposal to Delay Implementation of Fiduciary Rule (Mar. 17, 2017) (with Benjamin P. Edwards)

Keeping our Houses in Order: Lawyers' Obligations Concerning our own or our Colleagues' Inability to Competently Represent Clients, 23 PIABA BAR J. 277 (2016)

Elissa Germaine, Nicole G. Iannarone and Teresa Verges, *A 360 Degree Review of Roles and Responsibilities Concerning Diminished Capacity: Financial Advisers' Obligations to Clients, Lawyers Representing Clients, and Lawyers Preparing Their Practices*, 23 PIABA BAR J. 225 (2016)

Late Night News, Popular Culture, and Legal Ethics, PIABA Securities Law Institute Materials (Oct. 2016)

Can Atticus Finch be the Ideal Advocate and an Imperfect Person?, Georgia State Law Alumni Magazine (2016)

Preparing for Diminished Capacity, American Association of Immigration Lawyers Georgia-Alabama Chapter Annual Meeting Program Materials (2016)

Dealing with Diminished Capacity, PIABA Securities Law Institute Materials (Oct. 2015)

Avoiding Ethical Problems in Social Media, Georgia State Law Alumni Magazine (Spring 2015)

Competence and Computers: Securities Arbitration and the Ethics of Emergent Technologies,
PIABA Securities Law Institute Materials (Oct. 22, 2014)

The How's and Whys of Judicial Elections in Georgia – A Citizens' Primer, DAILY REPORT (Mar. 3, 2014) (Written by Atlanta Bar Association Reputation and Public Trust Committee: James C. Bonner, Jr., Hon. Susan E. Edlein, James A. Elliott, Henry D. Fellows, Hon. Carol W. Hunstein, Nicole G. Iannarone (vice chair), W. Seaborn Jones, Richardson Lynn, Hon. Robert C. McBurney, Hon. Christopher J. McFadden, Jenny K. Mittelman, Hon. David E. Nahmias, William U. Norwood, III, Roy M. Sobelson, Rita A. Sheffey (chair), Michael B. Terry, Hon. Gail S. Tusan, Hon. Melvin K. Westmoreland)

Ethics Update: Unauthorized Practice in Securities Arbitration, PIABA Securities Law Institute Materials (Oct. 16, 2013)

TESTIMONY

DO CLIENT ACCOUNT STATEMENTS ADEQUATELY SERVE INVESTORS?, Testimony before U.S. Securities & Exchange Commission Investor Advisory Committee (Dec. 8, 2022)

EVOLVING FRAUDS AND SCAMS, LANDSCAPE, AND KEY CONDUCT ISSUES, Testimony before the International Organization of Securities Commissions (IOSCO) Retail Market Conduct Task Force Financial Consumer Roundtable (Mar. 29, 2022)

INTERSECTION OF HEALTH, WEALTH, AND ADVOCACY, Testimony before U.S. Securities & Exchange Commission Retail Strategy Taskforce Roundtable on Combating Elder Investor Fraud (Oct. 4, 2019)

TYPES OF FRAUDULENT AND MANIPULATIVE SCHEMES CURRENTLY TARGETING RETAIL INVESTORS, Testimony before U.S. Securities & Exchange Commission Division of Trading and Markets Roundtable on Combating Retail Investor Fraud (Sept. 26, 2018)

THE ROLE OF SECURITY ARBITRATION CLINICS IN ENSURING ECONOMIC JUSTICE FOR RETAIL INVESTORS, Testimony before U.S. Securities & Exchange Commission Investor Advisory Committee (Oct. 12, 2017)

SELECTED SEMINARS, PRESENTATIONS, AND WORKSHOPS SINCE 2013:

- **PUBLIC AND PRIVATE IN THE FEDERAL SECURITIES LAWS**, SEALS (July 2024) (upcoming)
- **REGULATORY BIRTHDAY PARTY: THE SEC AT 90 AND THE CFTC AT 50**, SEALS (July 2024) (upcoming)
- **BUSINESS LAW WORKSHOP: TEACHING NUMERACY**, SEALS (July 2024) (upcoming)
- **EMERGING SCHOLARS IN CONSUMER LAW, COMMERCIAL LAW, AND BANKRUPTCY**, SEALS (July 2024) (upcoming)
- **PEDAGOGY AND ASSESSMENTS IN CONSUMER LAW, COMMERCIAL LAW, AND BANKRUPTCY COURSES**, SEALS (July 2024) (upcoming)
- **INVESTOR JUSTICE**, International Legal Ethics Conference (July 2024) (upcoming)

- **INVESTOR JUSTICE**, National Business Law Scholars Conference, University of California Davis School of Law (June 2024)
- **INVESTOR JUSTICE**, Graciela Olivarez Latinas in the Legal Academy (GO LILA), University of California Berkeley School of Law (May 2024)
- **SMALL CLAIMS SECURITIES ARBITRATION**, PIABA at University of Nevada Las Vegas Boyd School of Law (Apr. 5, 2024)
- **INVESTOR JUSTICE**, Penn State Law Dickinson Faculty Workshop (Mar. 25, 2024)
- **KEYNOTE ADDRESS**, Investor Advocacy Clinic Summit, U.S. Securities & Exchange Commission (Mar. 1, 2024)
- **UNDERSTANDING PROFESSIONAL IDENTITY FORMATION AND INTEGRATING PROFESSIONAL IDENTITY FORMATION INTO THE REQUIRED CURRICULUM**, AALS Annual Meeting (Jan. 5, 2024)
- **GARY GENSLER'S SEC AT YEAR THREE: WINS AND FAILS SO FAR**, Securities Regulation Section Program, AALS Annual Meeting (Jan. 3, 2024)
- **INVESTOR JUSTICE**, University of Pennsylvania Junior Faculty Business & Financial Law Workshop, University of Pennsylvania Institute for Law & Economics (Dec. 7-8, 2023) (invited participant)
- **RECENT NAMC BUSINESS**, Securities Industry Conference on Arbitration (SICA) (Nov. 17, 2023)
- **INVESTOR JUSTICE**, AALS ADR Section Works in Progress, Quinnipiac University School of Law & Yale Law School (Oct. 2023)
- **RATING RACISM**, AALS Financial Regulation Mid-Year Meeting, University of Pennsylvania, Wharton School of Business (Sept. 22, 2023)
- **SMALL CLAIMS SECURITIES ARBITRATION**, Drexel Faculty Workshop (Sept. 21, 2023)
- **SMALL CLAIMS SECURITIES ARBITRATION**, Corporate & Securities Litigation Roundtable, Vanderbilt Law School (Sept. 8, 2023)
- **MEDIATION PRATICUM**, PLI Securities Arbitration (Sept. 7, 2023)
- **SMALL CLAIMS SECURITIES ARBITRATION**, National Business Law Scholars, University of Tennessee School of Law (June 2023)
- **FINANCIAL SECURITY**, ABA Section of Civil Rights and Social Justice Chair Chat (June 21, 2023)
- **INCREASING DIVERSITY IN CORPORATE GOVERNANCE**, Law & Society Association, CRN 46 – Corporate and Securities Law in Society (June 2023)
- **SMALL CLAIMS SECURITIES ARBITRATION**, Graciela Olivarez Latinas in the Legal Academy (GO LILA), Stanford Law School (May 2023)
- **SMALL CLAIMS SECURITIES ARBITRATION**, Richmond Junior Faculty Workshop (May 2023)
- **THE GREAT TUNA DEBATE: *TRANSUNION LLC V. RAMIREZ AND OLEAN WHOLESALE GROCERY COOP., INC., ET AL. V. BUMBLE BEE FOODS LLC***, ABA Class and Derivative Suits Committee, ABA Litigation Conference (Apr. 20, 2023)
- **SMALL CLAIMS SECURITIES ARBITRATION**, Seton Hall Faculty Workshop (Mar. 29, 2023)
- **ELON MUSK AND THE LAW**, Stetson Law Review Symposium (Mar. 24, 2023) (invited symposium)
- **FINRA ARBITRATION: THE BASICS**, PIABA Young Members Webinar (Feb. 28, 2023)

- **HOW TRANSACTIONAL LAWYERS CAN IMPACT THE WORLD**, AALS Section for Transactional Law and Skills, AALS Annual Meeting (Jan. 5, 2023) (invited)
- **AVOIDING ETHICAL PITFALLS**, PIABA Annual Meeting (Oct. 27, 2022)
- **EMERGING ETHICAL ISSUES**, PIABA Securities Law Seminar (Oct. 25, 2022)
- **RECENT NAMC BUSINESS**, Securities Industry Conference on Arbitration (Oct. 21, 2022)
- **SMALL CLAIMS SECURITIES ARBITRATION**, Latina Law Scholars Virtual Workshop Series (Sept. 16, 2022)
- **DIVERSITY EQUITY & INCLUSION IN FINRA ARBITRATIONS**, PLI Securities Arbitration Seminar (Sept. 8, 2022)
- **POST PANDEMIC REMOTE ARBITRATION**, New Scholars Workshop: Civil Procedure and Remedies, SEALS (Aug. 2, 2022)
- **DISCUSSION GROUP – ELON MUSK AND THE LAW**, SEALS (Aug. 1, 2022) (invited)
- **DISCUSSION GROUP - CHARACTER AND FITNESS: WHAT NEEDS TO CHANGE?**, SEALS (Aug. 1, 2022) (invited)
- **PRIVATE ADJUDICATION OF PUBLIC INFORMATION**, Graciela Olivarez Latinas in the Leal Academy (GO LILA) Workshop, Stanford Law School (June 24, 2022)
- **NAMC RECENT BUSINESS**, Securities Arbitration Clinic Roundtable, Fordham Law School (June 22, 2022)
- **PRIVATE ADJUDICATION OF PUBLIC INFORMATION**, National Business Law Scholars Conference (June 16, 2022)
- **PRIVATE ADJUDICATION OF PUBLIC INFORMATION**, Drexel Kline School of Law Faculty Scholarship Retreat (May 19, 2022)
- **ETHICAL ISSUES AND DIMINISHED CAPACITY**, PIABA Mid-Year Meeting (Apr. 21, 2022)
- **BEYOND THE HEADLINES: *LEGGETT V. WELLS FARGO*, VACATING A FINRA ARBITRATION AWARD**, Alternative Dispute Resolution and Commercial Business Litigation Committee, American Bar Association; co-sponsored by New York State Bar Association (with Prof. Joan Stearns Johnsen & Prof. Christine Lazaro) (Apr. 19, 2022)
- **USING PANDEMIC LESSONS TO IMPROVE DISPUTE RESOLUTION: FINRA CASE STUDY**, Remote Justice? Examining Online Dispute Resolution During the Pandemic and Beyond, Stetson Law Review Symposium (Apr. 1, 2022) (invited symposium)
- **NATURE AND TYPES OF INVESTMENT FRAUD AND A FINRA OVERVIEW**, Wilkinson Family Speaker Series, University of Oklahoma Law School (Mar. 25, 2022) (with Prof. Andrew Tuch)
- **DIMINISHED CAPACITY ISSUES IN FINANCIAL SERVICES DISPUTES – WHAT LITIGATORS NEED TO KNOW**, American Bar Association Women in Litigation Conference (Nov. 18, 2021)
- **RECENT NAMC BUSINESS**, Securities Industry Conference on Arbitration (SICA) (Nov. 12, 2021)
- **ZOOM HEARINGS IN THE FINRA FORUM**, Securities Industry Conference on Arbitration (SICA) (Nov. 12, 2021)
- **MULTI-JURISDICTIONAL PRACTICE IN SECURITIES ARBITRATION**, PIABA Securities Law Seminar (Oct. 26, 2021)
- **STRUCTURAL BARRIERS TO INCLUSION IN THE SECURITIES ARBITRATOR POOL**, St. John's University School of Law Faculty Workshop Series (Oct. 13, 2021)

- **DIVERSITY, EQUITY, AND INCLUSION IN FINRA ARBITRATIONS**, PLI Securities Arbitration 2021 Seminar (Sept. 9, 2021)
- **MENTORING THE YOUNG PROFESSIONAL: ETHICAL SUPERVISION**, Drexel University Kline School of Law Co-op Program Supervisor Roundtable (Aug. 18, 2021)
- **PRIVATE ADJUDICATION OF PUBLIC INFORMATION**, New Scholars Workshop: Labor, Tax, Corporate, and Financial Law, SEALS (July 28, 2021)
- **STRUCTURAL BARRIERS TO INCLUSION IN FINRA'S ARBITRATOR POOL**, National Business Law Scholars Conference (June 18, 2021)
- **CODING AND COLLABORATION: DATA ANALYTICS IN THE LAW SCHOOL CLASSROOM**, co-presenter with Prof. Charlotte Alexander, Emory Transactional Law and Skills Conference (June 4, 2021)
- **STRUCTURAL BARRIERS TO INCLUSION IN FINRA'S ARBITRATOR POOL**, Big Data Law and Ethics Research Colloquium, Pamplin School of Business at Virginia Tech and Kelley School of Business at Indiana University (Apr. 16, 2021)
- **VIRTUAL ARBITRATION HEARINGS: COSTS, BENEFITS, AND RISKS TO RETAIL INVESTORS**, U.S. Securities & Exchange Commission, Office of the Investor Advocate Clinic Summit (Mar. 25, 2021)
- **THE ETHICS OF SOCIAL MEDIA AND EMERGING TECHNOLOGY**, Guest Lecturer in *Technology for Law Practice*, Drexel University Thomas R. Kline School of Law (Jan. 28, 2021)
- **STRUCTURAL BARRIERS TO INCLUSION IN FINRA'S ARBITRATOR POOL**, New Voices in Business Law, AALS Business Associations Section, AALS 2021 Annual Meeting (Jan. 5, 2021)
- **DIMINISHED CAPACITY? ETHICAL REPRESENTATION OF VULNERABLE CLIENTS**, PIABA Securities Law Seminar (Oct. 20, 2020)
- **STRUCTURAL BARRIERS TO INCLUSION IN FINRA'S ARBITRATOR POOL**, Drexel University Thomas R. Kline School of Law Faculty Workshop Series (Sept. 10, 2020)
- **DIVERSITY IN THE FINANCIAL INDUSTRY**, PLI Securities Arbitration 2020 (Sept. 10, 2020)
- **STRUCTURAL BARRIERS TO INCLUSION IN FINRA'S ARBITRATOR POOL**, SEALS New Scholars Workshop (Aug. 3, 2020)
- **ETHICS ISSUES WITH REMOTE HEARINGS**, PIABA (July 14, 2020)
- **ETHICAL ISSUES SURROUNDING SOCIAL MEDIA**, Guest Lecturer in *Technology for Law Practice*, Drexel University Thomas R. Kline School of Law (June 26, 2020)
- **ETHICAL ISSUES SURROUNDING REGULATORY INNOVATION AND THE BLOCKCHAIN SPACE**, Blockchain, Crypto, & Fintech Law: Decoded and in Practice, Wake Forest University School of Law (Feb. 7, 2020)
- **THE ROAD TO WELLBEING: NAVIGATING THE POTHOLES TO LIFETIME FINANCIAL SECURITY**, Section on Employee Benefits and Executive Compensation, AALS Annual Meeting (Jan. 2020)
- **EXPANDING THE CLASSROOM: BENEFITS AND CHALLENGES OF CO-TEACHING**, Section on Teaching Methods, AALS Annual Meeting (Jan. 2020)
- **EDUCATING THE MODERN CITIZEN LAWYER**, AALS LWRR Committee, AALS Annual Meeting (Jan. 2020)
- **WINNING, DEFINED**, #FutureLaw 4.0, Duquesne School of Law (Nov. 22, 2019)

- **ETHICS: A LAW PRACTICE DIAGNOSTIC ASSESSMENT**, PIABA Securities Law Institute (Oct. 22, 2019)
- **DIVERSE PANELS: WALL STREET MEETS MAIN STREET**, PLI Securities Arbitration Seminar (Sept. 10, 2019)
- **WINNING, DEFINED**, Works-in-Progress: Clinical Scholarship, SEALS (July 30, 2019)
- **LAW SCHOOL ASSESSMENT & DEVELOPING PROFESSIONAL IDENTITY**, Discussion Group, SEALS (July 29, 2019)
- **WINNING, DEFINED**, Securities Litigation and Arbitration Panel, National Business Law Scholars Conference, UC Berkeley School of Law (June 21, 2019)
- **SO YOU'VE BEEN NAMED IN AN ARBITRATION – TIPS AND TOOLS FOR SMALL FIRMS TO NAVIGATE FINRA ARBITRATION**, 2019 FINRA Annual Conference (May 16, 2019)
- **WINNING, DEFINED**, Business Law & Technology Scholarly Paper Roundtable, Center for Law, Technology & Innovation at Michigan State University College of Law (Apr. 24, 2019)
- **EXPLORING THE ETHICAL IMPLICATIONS OF CONSCIOUS AND UNCONSCIOUS BIAS**, Lawyers' Club of Atlanta (Feb. 28, 2019)
- **SOCIAL MEDIA, TECHNOLOGY, ETHICS, AND PROFESSIONALISM**, Georgia Supreme Court and Court of Appeals Staff Attorneys CLE (Nov. 27, 2018)
- **RETHINKING AUTOMATED INVESTMENT ADVISER DISCLOSURE**, Bridges, Center for Access to Justice, Georgia State College of Law (Nov. 13, 2018)
- **CIVILITY IN THE PRACTICE OF LAW (IS IT DEAD OR ALIVE)?**, Empowerment Summit Weekend, Advocacy for Action (Oct. 20, 2018)
- **RETHINKING AUTOMATED INVESTMENT ADVISER DISCLOSURE**, Robo-Advisers, Law and Technology Symposium, University of Toledo Law Review (Oct. 12, 2018)
- **FINRA ARBITRATORS: A COMPREHENSIVE LOOK AT HOW FINRA ENSURES THAT ITS ARBITRATORS FULFILL ETHICAL DUTIES**, PIABA Annual Meeting (Oct. 11, 2018)
- **THE ETHICS OF LEGAL TECHNOLOGY FOR SECURITIES ARBITRATION LAWYERS**, PIABA Securities Law Institute (Oct. 9, 2018)
- **TECHNOLOGY, SECURITY, AND ETHICAL CHALLENGES IN ARBITRATION AND MEDIATION**, PLI Securities Arbitration Seminar (Sept. 28, 2018)
- **GEORGIA STATE LAW CLINICS: PRESENTATION TO GEORGIA CONGRESSIONAL DELEGATION**, Georgia State University College of Law (Aug. 30, 2018)
- **PERSUASIVE COMMENT-WRITING: CONNECTING WITH THE ADMINISTRATIVE PROCESS AND POLICY ADVOCACY**, SEALS (Aug. 2018)
- **STOPPING FRAUD**, Panelist (with Jay Clayton, Chairman, U.S. Securities & Exchange Commission, and Leslie Worrell, Alabama Securities Commission) SEC Atlanta Town Hall (June 13, 2018)
- **JUDICIAL ETHICS AND SOCIAL MEDIA AND TECHNOLOGY; JUDICIAL AND ATTORNEY PROFESSIONALISM REGARDING SOCIAL MEDIA AND TECHNOLOGY; and ATTORNEY ETHICS AND SOCIAL MEDIA TECHNOLOGY**, Program Co-Chair (with Karlise Grier) and Moderator, Chief Justice's Commission on Professionalism and Institute for Continuing Judicial Education (ICJE), State Bar of Georgia Annual Meeting (June 8, 2018)
- **INVESTOR ISSUES DIALOGUE**, Consumer Federation of America (May 16, 2018)
- **WRITING IN MANDATORY COURSES**, Georgia State University College of Law (Mar. 22, 2018)

- **ETHICS AND TRANSACTIONAL LAW PRACTICE**, Atlanta Bar Association Business and Financial Services Section (Mar. 21, 2018)
- **FEATURED GUEST, FIRST YEAR PROFESSIONALISM: INSIDE THE LAWYERS' STUDIO**, Interviewed by Professor Patrick Longan, Mercer Law School (Feb. 9, 2018)
- **ELDER INVESTOR PROTECTION– HEALTH, WEALTH AND ADVOCACY**, Goodwin Proctor Seminar (Feb. 7, 2018)
- **OFFERING, SELLING, AND TRADING SECURITIES: NEW PERSPECTIVES**, Securities Regulation Section Program, co-sponsored by Agency, Partnership, LLCs and Unincorporated Associations and Business Associations, AALS Annual Meeting (Jan. 5, 2018)
- **ETHICS & TECHNOLOGY**, Guest Lecturer in *Advanced Legal Research*, Georgia State University College of Law (Oct. 23, 2017)
- **ETHICS: WORKING WITH SENIOR INVESTOR CLIENTS**, PIABA Annual Meeting (Oct. 20 and 21, 2017)
- **ETHICS: WHAT EVERY ATTORNEY SHOULD KNOW ABOUT TECHNOLOGY IN PRACTICE**, PIABA Securities Law Institute (Oct. 18, 2017)
- **RESPONDING TO THE NEEDS OF EVENING STUDENTS**, SEALS (Aug. 2017)
- **THE NIGHT OWL CLINICIAN**, AALS Clinical Conference (May 8, 2017)
- **PROFESSIONAL IDENTITY FORMATION: LESSONS FROM CLINICIANS**, Georgia State University College of Law (Feb. 1, 2017)
- **INVESTMENT FRAUD AND WHAT TO DO IF YOU ARE A VICTIM**, National Investor Town Hall Meeting, Alliance for Investor Education and PIABA Foundation (Oct. 29, 2016)
- **ETHICS COUNTDOWN: A TOP TEN LIST**, PIABA Securities Law Institute (Oct. 26, 2016)
- **INNOVATING TRADITION: INJECTING FLIPPED CURRICULUM AND METACOGNITION INTO THE CLINICAL SEMINAR**, Southern Clinical Conference (Oct. 14, 2016)
- **23RD ANNUAL CONVOCATION ON PROFESSIONALISM: THE NEW NORMAL FOR DELIVERY OF LEGAL SERVICES**: Program Co-Chair, Georgia Chief Justice's Commission on Professionalism (Aug. 30, 2016); **MODERATOR: LAWYERING TODAY AND IN THE FUTURE**
- **SOCIAL MEDIA, PROFESSIONALISM, AND ETHICS**, Towers to Trenches Program, Georgia State University College of Law (Aug. 26, 2016)
- **SOCIAL MEDIA: ETHICAL CONSIDERATIONS OF POSTING, TWEETING AND BLOGGING IN LAW PRACTICE**, CALI Conference for Law School Computing (June 2016)
- **BUILDING THE COMPLETE LAWYER**, Real-World Readiness, Institute for Law Teaching and Learning Annual Conference (June 11, 2016)
- **CRAFTING COMMENT LETTERS: TEACH POLICY, DEVELOP SKILLS, AND SHAPE PENDING REGULATION**, Method in the Madness: The Art and Science of Teaching Transactional Law and Skills, Emory Center for Transactional Law and Practice (June 10, 2016)
- **BUSINESS ARBITRATION PRACTICUM**, Georgia State University College of Law Innovation Grant Presentation (Mar. 21, 2016)
- **ETHICAL OBLIGATIONS AND CONFLICTS OF INTEREST**, American Immigration Lawyers Association Georgia-Alabama Chapter (Feb. 19, 2016)
- **DEALING WITH DIMINISHED CAPACITY**, PIABA Securities Law Institute (Oct. 21, 2015)
- **JUDICIAL ETHICS AND SOCIAL MEDIA: WHY CAN'T WE BE FRIENDS?**, Gate City Bar Association Judicial Section (Oct. 8, 2015)

- **EXPERIENTIAL LEARNING ACROSS THE CURRICULUM: OPTIONS FOR EVERY CLASS**, Institute of Law Teaching and Learning Conference (June 13, 2015)
- **FUNDING THE LAW SCHOOL CLINIC THROUGH “SOFT MONEY” – RESTRAINTS AND POSSIBILITIES FOR PEDAGOGY AND SOCIAL JUSTICE**, Panelist, AALS Conference on Clinical Legal Education (May 5, 2015)
- **ETHICS AND PROFESSIONALISM IN TRANSACTIONAL REPRESENTATIONS**, Guest Lecturer, Emory Law School Deal Skills Course Panel (Apr. 15, 2015)
- **THE AGE-OLD QUESTION OF WHO IS THE CLIENT**, State Bar of Georgia Young Lawyers Division Ethics & Professionalism Committee (Mar. 5, 2015)
- **ETHICS/PROFESSIONALISM ISSUES WITH CIS AND EOIR**, Panelist, American Immigration Lawyers’ Association Georgia-Alabama Chapter 3rd Annual Immigration Law Conference (Feb. 20, 2015)
- **INTEGRATING CLINICAL PEDAGOGY ACROSS THE CURRICULUM: MAKING IT WORK**, Panelist, Section on Clinical Education and Section on Teaching Methods, AALS Annual Meeting: Legal Education at the Crossroads (Jan. 4, 2015)
- **PEDAGOGY PROMOTING PRACTICE-READY LAW STUDENTS: LESSONS LEARNED FROM RECENT PRACTICE**, Panelist, Section on Balance in Legal Education, AALS Annual Meeting: Legal Education at the Crossroads (Jan. 3, 2015)
- **21ST ANNUAL CONVOCATION ON PROFESSIONALISM: AGING IN THE LAW: IT’S MORE THAN A SENIOR MOMENT**, Program Co-Chair, Georgia Chief Justice’s Commission on Professionalism (Nov. 12, 2014); **PANELIST: DID I MAKE A MISTAKE? DISCIPLINARY SITUATIONS AND OPTIONS FOR LAWYERS AND JUDGES; CO-MODERATOR: WRAP-UP: WHERE DO WE GO FROM HERE?**
- **THE ETHICAL IMPLICATIONS OF SOCIAL MEDIA AND EMERGENT TECHNOLOGIES**, PIABA Securities Law Institute (Oct. 22, 2014)
- **HOT TOPICS IN ETHICS AND PROFESSIONALISM**, National Bar Association 89th Annual Convention (July 29, 2014)
- **PRACTICE READY LAWYERS DON’T JUST REPRESENT CLIENTS: EXPERIENTIAL EDUCATION FOR THE BUSINESS OF LAW**, Educating the Transactional Lawyer of Tomorrow, Emory Law School Center for Transactional Law and Practice (June 6, 2014)
- **ETHICS AND PROFESSIONALISM**, State Bar of Georgia Young Lawyer’s Division Leadership Academy (May 16, 2014)
- **SOCIAL MEDIA: PRACTICE DEVELOPMENT THROUGH VERDICT**, Atlanta Bar Association Litigation Section (Apr. 4, 2014)
- **ETHICAL AND PROFESSIONAL ISSUES IN AN ELECTRONIC WORLD**, Lawyers’ Club of Atlanta (Mar. 20, 2014)
- **ETHICS FOR CORPORATE COUNSEL**, Association of Corporate Counsel (Mar. 11, 2014)
- **THE ETHICS OF CLOUD COMPUTING AND MODERN TECHNOLOGIES**, Atlanta Bar Association Reputation and Public Trust Committee, State Bar of Georgia Young Lawyers’ Division Ethics & Professionalism Committee, Savannah Young Lawyers Committee (Mar. 6, 2014)
- **CHALLENGES IN THE TRIAL COURTS**, Georgia State University Law Review Symposium - Delayed Justice: The Current Landscape of Civil Litigation (Feb. 7, 2014)
- **UNAUTHORIZED PRACTICE OF LAW, MULTIJURISDICTIONAL PRACTICE AND SECURITIES ARBITRATION**, PIABA Securities Law Institute (Oct. 16, 2013)

- **ETHICAL DILEMMAS AND SOCIAL MEDIA**, Atlanta Bar Litigation Section, Atlanta Council of Younger Lawyers, Sole Practitioner & Small Firm Section (June 11, 2013)
- **ETHICAL AND PROFESSIONAL CONCERNS WITH THE USE OF SOCIAL MEDIA**, Georgia Bar Association Young Lawyers Division, Savannah Bar Association Young Lawyers Division, Atlanta Bar Association's Atlanta Council of Younger Lawyers and Reputation and Public Trust Committee (Mar. 7, 2013)

GRANTS

Georgia State Law School Teaching Innovation Grant (Summer 2015); FINRA Investor Education Foundation Investor Advocacy Clinic Program (January 1, 2013-December 31, 2015)

PROFESSIONAL ACTIVITIES

- **FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA) NATIONAL ARBITRATION AND MEDIATION COMMITTEE (NAMC)**; Chairperson (June 2021-2024); Public Member (June 2018-2021); Chair, Neutral Roster Subcommittee (June 2019-2021)
- **CERTIFIED FINANCIAL PLANNER (CFP) BOARD OF STANDARDS PUBLIC POLICY COUNCIL (2020-)**
- **ARBITRATOR (NON-PUBLIC)**, FINRA Dispute Resolution Services (Philadelphia, PA and Wilmington, DE hearing locations) (2021-)
- **PLANNING COMMITTEE, NATIONAL BUSINESS LAW SCHOLARS (2023 -)**
- **AALS SECTION ON SECURITIES REGULATION**: Chair-Elect (2024); Member, Executive Committee (2023-)
- **AALS SECTION ON BUSINESS ASSOCIATIONS**: Member, Executive Committee (2024-)
- **AD HOC REVIEWER** – Journals: JURIMETRICS (2)
- **AALS SECTION ON EMPLOYEE BENEFITS AND EXECUTIVE COMPENSATION**; Chair (2020); Chair-Elect (2019)
- **AALS SECTION ON PROFESSIONAL RESPONSIBILITY**: Member, Executive Committee (2016-2019), Nominating Committee (2016), Newsletter Editor (2017-2019)
- **HOLLORAN CENTER FOR ETHICAL LEADERSHIP IN THE PROFESSIONS**: Working Group Member, Self-Directedness Competencies (2017-2018)
- **GEORGIA CHIEF JUSTICE'S COMMISSION ON PROFESSIONALISM** (2015-2019), Aging in the Law Taskforce, Co-Chair (2014), Co-Chair, 21st Annual Convocation on Professionalism, Co-Chair, 23rd Annual Convocation on Professionalism:

- **PUBLIC INVESTORS ARBITRATION BAR ASSOCIATION (PIABA)** (2013-2023); **SELF-REGULATORY ORGANIZATION COMMITTEE**, Member (2013-2019); **SECURITIES LAW INSTITUTE PLANNING COMMITTEE**, Co-Chair (2017, 2018), Member (2014-2022)
- **STATE BAR OF GEORGIA: PROFESSIONALISM COMMITTEE**: Chair (June 2017-2019), Vice Chair (June 2014-2017), Member (2011-2019); **SPECIAL COMMITTEE ON THE UNIFIED BAR** (Oct. 2018- June 2019; June 2020-2021); **FORMAL OPINION ADVISORY BOARD** (June 2014-2018); **DISCIPLINARY RULES AND PROCEDURE COMMITTEE**, Appointed Member (2008-2011, 2012-2014); Advisor (2011-2012); **LAWYER ADVERTISING TASKFORCE** (2006-2008); **LAWYERS' FOUNDATION OF GEORGIA** (Fellow)
- **ATLANTA BAR ASSOCIATION: IMMEDIATE PAST PRESIDENT** (2019-2020), **PRESIDENT** (2018-2019), **VICE PRESIDENT/PRESIDENT ELECT** (2017-2018), **SECRETARY** (2016-2017), **TREASURER** (2015-2016), **BOARD OF DIRECTORS**, Member (2012-2020); **LAW SCHOOL OUTREACH COMMITTEE**, Co-Chair (2014-2015); **PUBLIC INTEREST EXECUTIVES ROUNDTABLE (PIER)**; **WOMEN IN THE PROFESSION COMMITTEE**, Board Member (2010-2012); **LITIGATION SECTION; SECURITIES AND CORPORATE LITIGATION SUB-SECTION**; **LAWYER REFERRAL & INFORMATION SERVICE** (2017-2019); **CLE BOARD** (2017-2019); **REPUTATION AND PUBLIC TRUST COMMITTEE**, Chair (2015-2017), Vice Chair (2010-2011, 2012-2015), Co-Chair (2011-2012), Member (2008-2019); **ATLANTA BAR FOUNDATION: BOARD MEMBER** (2017-2019)
- **ATLANTA COUNCIL OF YOUNGER LAWYERS: PRESIDENT** (2012-2013), **VICE-PRESIDENT/PRESIDENT-ELECT** (2011-2012), **SECRETARY** (2010-2011), **TREASURER** (2009-2010), **BOARD OF DIRECTORS** (2007-2009), **CO-COORDINATOR, ASSOCIATES' CAMPAIGN FOR LEGAL SERVICES** (2007, 2008)
- **STATE BAR OF GEORGIA, YOUNG LAWYERS' DIVISION ("YLD")**: **CO-CHAIR: ETHICS & PROFESSIONALISM COMMITTEE** (2007-2009); **YLD LEADERSHIP ACADEMY**, Inaugural Class (2006); **DISTRICT REPRESENTATIVE: NORTHERN DISTRICT OF GEORGIA** (2007-2009); **MINORITIES IN THE PROFESSION COMMITTEE** (2006-2009)

SERVICE TO THE DREXEL UNIVERSITY THOMAS R. KLINE SCHOOL OF LAW

Student Code of Conduct Hearing Committee (2019-2020, 2023-); Intellectual Life Committee (2020-2021); Law Library Advisement Group (10/2020-); Appointments Committee (2021-2022); Curriculum Committee (2022-2023)

SERVICE TO THE GEORGIA STATE UNIVERSITY COLLEGE OF LAW

Clinical Faculty Workload Committee (2018); Inaugural Dean's Leadership Training Program (2017-2018); Bleckley Inn of Court Committee (2015-2019); College of Law Representative, State Bar of Georgia Formal Advisory Opinion Board (2014-2018); Clinic Transition Committee (2014-2016); Clinical Programs Committee (2016-2019); Professional Identity Formation Working Group (2016-2017); Tax Clinic Search Committee (2014); Clerkship Advisement

Committee (2014-2016); Faculty Advisor: Legal Ethics and Professionalism Moot Court Team (2014, 2015)

AWARDS

- **STATE BAR OF GEORGIA AWARD OF MERIT** (2019), awarded to Atlanta Bar Association for its work in 2018-2019 during term as President
- **ATLANTA BAR ASSOCIATION LARGE SECTION OF THE YEAR AWARD** (2013) (awarded for activities completed during term as President of Atlanta Council of Younger Lawyers)
- **BENCHMARK PLAINTIFF**: listed as Georgia plaintiff litigation star (2011, 2013-2015)
- **ATLANTA BAR ASSOCIATION PROFESSIONALISM AWARD** (2011) (awarded to Reputation and Public Trust Committee during term as Vice-Chair)
- **GEORGIA RISING STAR ATTORNEY, GEORGIA SUPER LAWYERS MAGAZINE** (2005, 2007, 2009-2011)
- **KERRY HARIKE JOEDECKE YOUNG LAWYER OF THE YEAR AWARD**, Atlanta Bar Association's Atlanta Council of Younger Lawyers (2009)
- **BRENAU WOMEN'S COLLEGE YOUNG ALUMNAE AWARD** (2003)

PRACTICE EXPERIENCE

BONDURANT, MIXSON, & ELMORE, *Equity Partner* (6/2002-5/2012)

DEPUTY GENERAL COUNSEL: developed and presented legal ethics and risk management training; research and advice regarding professional responsibility matters; and development and maintenance of Firm policies and Associate Training Manual.

Complex business litigation practice including:

Representation of a public company and approximately 40 of its shareholders in a lawsuit alleging that several Wall Street firms engaged in naked short selling to improperly lower the company's stock price in violation of securities and other laws;

Representation of law firms, attorneys and bar groups including: defending against claims of professional negligence; counseling on ethics questions; drafting firm and of counsel agreements; representation of lawyers and judges in disciplinary inquiries; representation of law firm in connection with successful resolution of investigative subpoena; commenting on proposed federal regulation impacting attorneys; and providing oral and written advocacy regarding requests for ethics opinions from the State Bar of Georgia;

Managed multiple, related lawsuits against major accounting firms alleging fraud, RICO violations and professional malpractice regarding tax advice;

Representation of public company in resolution of multiple default judgments entered against it;

Obtained permanent injunction on First Amendment grounds enjoining the State of Georgia from enforcing law requiring provision of registrants' passwords and usernames for all electronic interactive accounts; and

Class action experience including: representation of national law firm in defense of putative class action alleging violations of Georgia's Debt Adjusting Act; representation of defendant franchisor in consent resolution of putative consumer class action alleging Fair and Accurate Credit Transactions Act ("FACTA") claims; and certified as class counsel in RICO-based claim resulting in \$18 million settlement.

SELECTED PRESS & PODCASTS

- [The Need for Arbitration Clinics](#), PLI inSecurities Podcast (July 12, 2024)
- Jennifer Kay & Mike Leonard, *Musk Superfans, Meme-Stock Traders Crash US Business Court Norms*, Bloomberg Law (May 7, 2024)
- [Business Scholarship Podcast](#) (Apr. 8, 2024)
- Patrick Donachie, *SEC Summit Aims to Raise Awareness of Investor Law Clinics*, Wealth Management (Mar. 1, 2024)
- Patrick Donachie, *Legal Help for Small Investors is Disappearing*, Wealth Management (Nov. 21, 2022)
- Tobias Salinger, *FINRA Stirs Expungement Debate with Latest Arbitration Reform Proposal*, Financial Planning Magazine (Aug. 10, 2022)
- Tobias Salinger, *Congressional Bills Would Fund Free Legal Clinics for Smaller Investors*, Financial Planning Magazine (Aug. 8, 2022)
- Patrick Donachie, *Georgia Appeals Court Reverses Decision Alleging 'Secret Agreement' in FINRA Arbitration*, Wealth Management (Aug. 3, 2022)
- Andrew Welsch, *Financial Advisor Notches Supreme Court Win. It Changes Who May Decide Arbitration Appeals*, Barron's (Apr. 4, 2022)
- Patrick Donachie, *Decade-Old Dustup Continues to Haunt FINRA*, Wealth Management (Apr. 1, 2022)
- Tobias Salinger, *UBS Must Pay Client \$1.1 Over Allegations of 'Egregious' Advice*, Financial Planning Magazine (Mar. 2, 2022)
- Tobias Salinger, *Ex-Ameriprise Rep Who Sold Kryp+o K!ng Units Cost Clients \$600K*, SEC, Financial Planning Magazine (Mar. 2, 2022)
- Tobias Salinger, *Wells Fargo, UBS, LPL and Other Firms Settle Flurry of FINRA Cases*, Financial Planning Magazine (Dec. 24, 2021)
- Francisco Alvarado, *The Bogus Tech Bro Accused of Scamming the Elderly to Fund Gambling Sprees*, VICE News (Nov. 4, 2019)
- Melanie Levs, *Atlanta Bar Association Leaders Discuss Changing Industry*, Atlanta Business Chronicle (Jan. 24, 2019)
- Carmen Germaine, *Robos Falling Behind on Fiduciary Standards: Report*, Ignites (Nov. 2, 2018)
- Meredith Hobbs, *Pro Bono Honorees Recognized for Battling 'Ordinary Injustice,'* Daily Report (Oct. 23, 2018)
- Gary Witte, *Law Firms Practice in the Cloud Instead of the Office*, Atlanta Business Chronicle (July 21, 2018)
- Sam Whitehead, *All Five Members of SEC Head to Atlanta for Town Hall*, WABE (June 12, 2018)
- Carmen Germaine, *DC Cir. Decision Highlights SEC's Oversight Tightrope*, LAW360 (Aug. 9, 2017)

- Mark Schoeff, Jr., *Elder Abuse Prevention by Advisers Depends on Their Firms' Response to New Rule*, INVESTMENTNEWS (Feb. 15, 2017)
- Martha Neil, *Well-Known Firm Argues Ex-Con's Pro Se Case over Web Privacy*, ABA Journal (Aug. 25, 2009)

BAR ADMISSIONS

Georgia (11/2002-) (active)
Pennsylvania (8/27/2021-) (active)

COMMUNITY INVOLVEMENT

- **GREENLAW**, Secretary (2014-2015), Member of Board of Directors (2009-2015), Executive Director Search Committee (2015)
- **KEEP ATLANTA BEAUTIFUL BOARD**, appointed by Mayor Kasim Reed (5/2012-5/2013)
- **EMERGING LEADERS FOR CHILDREN'S HEALTHCARE OF ATLANTA**, inaugural class (2011-2012)
- **L.E.A.D. ATLANTA**, Class of 2008; Volunteer (2009-2010)
- **THE DESTINY FUND OF THE ATLANTA WOMEN'S FOUNDATION**, Class of 2007
- **UNITED WAY OF ATLANTA VOLUNTEER INVOLVEMENT PROGRAM**, Spring 2006
- **AMERICAN KIDNEY FUND**, Atlanta Division Council, Chair (2009-2010), Member (2007-2009), Southeastern Regional Council Member (2006-2007)