

JAMES D. YELLEN, ESQ. RESUME

EMPLOYMENT

Yellen Arbitration and Mediation Services NY, NY

President and Principal – 2006 to Present

Provide arbitration and mediation services to the securities industry on a wide array of matters. Have achieved a 90% + settlement success rate.

Morgan Stanley New York, NY

Executive Director, Law Division –1995 to 2006

Securities litigation, arbitrations, and regulation, active trial practice before N.Y.S.E. and N.A.S.D; supervision of complex litigation matters and staff attorneys; defense of N.Y.S.E. and S.E.C. enforcement proceedings; experience in all aspects of law and compliance issues.

Brown & Wood New York, NY

Counsel – 1992 to 1995

Associate – 1985 to 1992

Trial and appellate litigation practice in securities, banking, bankruptcy, lender liability, corporate reorganization, employment, commercial, product liability and international litigation. Arbitrations before N.Y.S.E., N.A.S.D. and A.A.A. Litigation Associate in San Francisco office for periods in 1989 and 1990.

Fordham University School of Law New York, NY

Adjunct Professor – 1988 to present

Instructor of Legal Writing and Research Course for first year law students.

Bigham Englar Jones & Houston New York, NY

Litigation Associate – 1983 to 1985

Summer Associate – 1982

Experience in insurance, international and commercial litigation.

EDUCATION

Fordham University School of Law New York, NY

J.D., 1983

Managing Editor, Fordham International Law Journal, 1982-1983

Grand Street Foundation Academic Scholarship

University of Nancy

Centre Universitaire des Etudes Politiques

License, 1980 (International Graduate Fellowship)

St. Lawrence University Canton, NY

M. Ed., Summa Cum Laude, 1978

B. A. (Government), Magna Cum Laude; Phi Beta Kappa, 1977

PUBLICATIONS

Article, Arbitration Pleadings: The Courage to Simplify, 24 PIABA Bar Journal 231 (2017)

*Book Review, 25th Edition of the Securities Arbitration Procedure Manual, D. Robbins, Securities Arbitration Commentator (Spring, 2017)

Article, Plain English in Arbitration, NYSBA Securities Arbitration Coursebook (2016)

Article, Winning Over the Arbitrators – A Dozen Helpful Hints for a Successful Award, Securities Arbitration Commentator (Spring 2015)

**Article, Mediation Redux: Now More Than Ever, Securities Arbitration Commentator (Fall 2014)

***Article, Robbins to Bader to Lipner: A Securities Arbitration Triple Play, Securities Arbitration Commentator (Fall 2013)

Article, Arbitration of Customer Claims Before the New Financial Industry Regulatory Authority: A Practical Analysis, New York Law Journal (June 2008)

**** Plain English in Securities Arbitration Pleadings, P.L.I. Securities Arbitration Coursebook (2005)

Book Review, Insider Trading: The Laws of Europe, The United States and Japan, 17 Fordham International Law Journal 1211 (1994)

Lead Article, Oil Pollution: The 1984 London Protocols and the Amoco Cadiz, 15 Journal of Maritime Law and Commerce 467 (1984)

Note, Forum Non Conveniens: Standards for the Dismissal of Actions from the United State Federal Courts to Foreign Tribunals, 5 Fordham International Law Journal 533 (1982)

PROFESSIONAL

Co-Chair, N.Y.S.B.A. Securities Law Committee; Board of Editors, Securities Arbitration Commentator; N.Y.S.E., N.A.S.D. and N.F.A. Industry Arbitrator; Securities Industry Association; Editorial Advisory Board – Finance, Securities and Tax Law Forum; American and New York State Bar Associations; Fordham International Law Journal Alumni Association (Vice President and Board of Directors Member; Past President); CLE Instructor – Securities Law Courses at Fordham Law School; Pro Bono Committee, Brown & Wood; City Bar Association Panel Member.

BAR ADMISSIONS New York (1984); United States Supreme Court (1991); Eleventh Circuit Court of Appeals (1991); First Circuit Court of Appeals (1990); S.D.N.Y. (1984); N.D.N.Y (1992); D.C. Puerto Rico (1992).

REFERENCES AVAILABLE UPON REQUEST