

JAMES D. YELLEN
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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 95% + 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, 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 Int'l L. 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 United State Federal Courts to Foreign Tribunals, 5 Fordham Int'l L. 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