

RESUME OF TRACY PRIDE STONEMAN

STONEMAN LAW

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Licensed in Texas and Colorado and Representing Clients Nationwide

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AREA OF PRACTICE

- Representation of investors in investment disputes with brokerage firms and stockbrokers in firm disputes

PROFESSIONAL MEMBERSHIPS

- Board of Directors, Public Investors Arbitration Bar Association (PIABA)(1999-2005)
- PIABA member 1990 - present
- American, Texas & Colorado Bar Associations

LEGAL EDUCATION

- Drake University, J.D. Degree 1986

HONORS

- Graduated with honors
- Drake Law Review
- National Moot Court Team
- Mock Trial Team
- Member of Order of Barristers

UNDERGRADUATE EDUCATION

- Vanderbilt University, 1983
- Bachelor of Arts, English & Business Majors

MUNICIPAL JUDGE

- Municipal Judge, City of Cockrell Hill, Texas, 1995

REPORTED DECISIONS

- *Kramer v. Smith Barney Shearson, Inc.*, 80 F.3d 1080 (5th Cir. 1996)
- *Smith Barney Shearson, Inc. v. Boone*, 838 F. Supp. 1156 (N.D. Tex. 1996), *aff'd* 47 F.3d 750, 754 (5th Cir. 1995)
- *Kramer v. Smith Barney Shearson, Inc.*, 80 F.3d 1080 (5th Cir. 1996)
- *Lippitt v. Raymond James Financial, et. al.*, 340 F.3d 1033 (9th Cir. 2003)
- *McPhatter v. Salomon Smith Barney, et. al.*, 2003 WL 22113455 (M.D.N.C. Sep 08, 2003)
- *McPhatter v. Salomon Smith Barney, et. al.*, --- F.Supp.2d ----, 2005 WL 3150245 (M.D.N.C. Nov. 18, 2005)

AUTHOR

- "Supervision of Third Party/Power of Attorney Accounts", PIABA Bar Journal, Fall 2016, Westlaw (2016 WL 5405 137)
- Brokerage Fraud: What Wall Street Doesn't Want You to Know, 2002, Dearborn Trade
- Registered Representative Magazine, Ethical Rep, April 2004—April 2006
- "Due Diligence Research: How to Check Out Your Broker", AAI Journal, January 2001
- Columnist for Colorado Springs Business Journal on subject of "Your Broker", 1996 - 2001

AUTHOR, CONT.

- “Securities Arbitration, Parts I and II”, Published in the Colorado Lawyer, September, 1998 & November, 1998
- "Forced Arbitration - Perfect Justice? Discovery in Arbitration," Securities Arbitration Commentator, November 1990

SPEAKER/AUTHOR

- “Debunking Common Brokerage Firm Defenses” Published in and presented to PIABA California mid-year Meeting, Los Angeles, CA March 2006
- “Crossing the Securities Expert Witness” Published in and presented to PIABA Annual Meeting, Carlsbad, CA Sept. 2005
- NASSA Winter Enforcement Conference, La Quinta, CA, Flat Fees, CRDs, Unauthorized Trading, Compliance Issues, January 2005
- “Concentration: Too Much of a Good Thing?” Published in the PIABA Bar Journal and Presented to Annual Meeting, Colorado Springs, CO, Fall 2002
- “What To Do When...Your Adversary Has Altered Or Destroyed Documents” Published in PIABA Annual Meeting Materials, 2001
- “How to Limit Your Legal Liability”, Published in and Presented at the Financial Services College, Las Vegas, NV October 1999
- “Log On, Download, Turn On, Or Get Left Out of Securities Arbitration”, Published in and Presented to Practicing Law Institute’s (PLI’s) Securities Arbitration, San Francisco, July 1999
- “Catching Red Flags in Your Clients’ Portfolios” presented to the American Institute of Certified Public Accountants, Personal Financial Planning Technical Conference, Orlando, FL January, 1998

- “Cross Examination of Stockbrokers and Managers”, Published in and Presented to PLI’s Securities Arbitration, 1996; Presented at PIABA Annual Meeting, Turnberry Isle, Fla. October, 1996

RECOGNITION

- May 2, 2003: Tracy interviewed on PBS Frontline “What’s an Investor To Do? The Wall Street Fix”
- Business Week Magazine favorably reviewed “Brokerage Fraud” February 11, 2002
- August 30, 2001: the “Daily Interview” with Tracy Pride Stoneman featured on TheStreet.com.
- October 2001: mention of Tracy’s web site, article, “Sue Your Broker,” *Money Magazine*
- January 23, 2002: Tracy interviewed on television “Today’s Business”, CNBC
- February 15, 2002: Tracy interviewed on television “Today’s Business”, CNBC
- February 18, 2002, Tracy interviewed on “The Mike Rosen Show”, Denver, CO, KOA-AM radio
- April 30, 2003, Tracy interviewed on “Winning on Wall Street”, syndicated radio
- May 1, 2003, Tracy interviewed on “Peter Boyles show”, Denver, CO, KHOW radio
- Several interviews in 2003 on “The Money Show”, Naples, FL
- Quoted in The Wall Street Journal, Money Magazine, USA Today, Dow Jones Newswire, Registered Representative, U.S. News & World Report and many others.
- Formerly NYSE Arbitrator