

JOHN MAINE
EXPERT WITNESS & CONSULTANT – SECURITIES

EDUCATION

B.A. Magna Cum Laude
Dartmouth College

INDUSTRY EXPERIENCE

- Retail Stockbroker
- Institutional Salesperson
- National Institutional Sales Manager – responsible for recruiting and managing a nationwide sales force
- Resident Sales Manager of a 100 person branch office
- Regional Director for a 1,000 person region with revenues in excess of 200 million
- Member of the Board of Directors of Smith Barney and Executive Vice-President of the Firm

EXPERT WITNESS CREDENTIALS

- Retained approximately 1600 times, given testimony on approximately 600 occasions in over 30 states.
- Testified in State and Federal courts in various jurisdictions, in arbitration proceedings, in mediations and in SRO disciplinary hearings.

TOPICS

Among the topics qualified to present expert testimony:

Suitability
Churning and excessive trading
Commissions and mark-ups
Limited Partnerships
Hedging strategies for concentrated positions
Options trading
Supervision and Compliance
Rule #144 and other control stock issues
High Yield Bonds and other complex debt instruments
Auction Rate Securities
Annuities
Registered Investment Advisor issues
Retirement strategies
Inter-firm hiring disputes and raiding
Broker forgivable notes
Employment issues including discrimination
Regulatory disciplinary matters
U-4 and U-5 filings
Trading away
Municipal Bonds
Back office procedures
Hedge Funds
Managed Money
Damages

This is meant to be a representative list but is not all inclusive

PAST LICENSES HELD

NYSE-Registered Representative
NYSE-Branch Office Manager
ASE, CBT, NASD, NYSE-Registered Options Principal
NASD-General Securities Principal
National Futures Association-Associated Person

References available on request