

TINA PATTERSON, CF APMP, ITIL, CICM, MCIArb

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SUMMARY OF QUALIFICATIONS

Experienced Alternative Dispute Resolution provider, familiar with writing and reviewing memorandums of understanding, contracts, debrief reports and agreements. Support local and national public engagement efforts via organizations such as America Speaks, Public Engagement Associates, RESOLVE, Potapachuk Associates, and the Kellogg Foundation. Author of "Securities Arbitration 101" featured in the Association for Conflict Resolution's *ACResolution* magazine. Effective communicator at all levels of the business and client organization.

EDUCATION

Master in Dispute Resolution (Expected 2021), Pepperdine University, Straus Institute, Malibu, CA
Graduate Certificate, Advanced Studies in ADR, 2001, Southern Methodist University, Dallas, TX
Bachelor of Arts, Hispanic Language & Linguistics, 1985, Brown University, Providence, RI

PROFESSIONAL EXPERIENCE

Jade Solutions, LLC leverages more than 20 years' experience to provide management consulting services in the areas of Alternative Dispute Resolution (ADR) and community engagement support, proposal and grants management support, as well as project management and training services. Project highlights include serving arbitrator for the Financial Industry Regulatory Authority (FINRA), serving as facilitator for National Park Service, and serving as award reviewer for United States Geospatial Intelligence Foundation.

DISPUTE RESOLUTION RELATED EXPERIENCE -SELECTED

Arbitrator, Financial Industry Regulatory Authority, New York, NY • 2001- Present
Arbitrator, Better Business Bureau, Ft Worth, TX • 2004- 2006
Arbitrator, Attorney Client Arbitration Board, DC Bar • 2019
Labor Arbitrator Development Program, ACR/FMCS/NAA, Orlando, FL • 2004
Arbitrator Intern, The Resolution Group, Dallas, TX • 2002- 2003

Facilitator, Open Discussion Dialogue • 2019
Facilitator, Anne Arundel Workforce Development Corporation Staff convening • 2018
Facilitator, Prince George's Community College Healthcare Alliance regional meetings • 2017-2019
Facilitator, Upper Shore Workforce Investment Board regional meetings • 2016-2017
Facilitator, Crisis of Standards Care Community Engagement sessions
Facilitator, Gullah Geechee Cultural Heritage Corridor Commission Quarterly Meeting
Facilitator, NoMa Parks Community Conversation • 2015
Facilitator, Purple Line Community Workshop Forum • 2014
Facilitator, Prince George's Plaza Transit Development Plan Charette, Hyattsville, MD • 2014
Facilitator, Chantilly Citizen Transportation Forum • 2011
Facilitator, Walter Reed Re-use Forum • 2010
Facilitator, Racial Equity and Racial Reconciliation Listening Session, Birmingham, AL • 2008
Facilitator, Center for Disease Control's Leader to Leader Conference, Washington, DC • 2008
Facilitator, District of Columbia School Partnerships Community meetings Washington, DC • 2008
Facilitator, Council on Foundations Annual Meeting, Washington, DC • 2008
Facilitator, Ward 6 Education Forum, Washington, DC • 2008
Facilitator, Clinton Global Initiative University, New Orleans, LA • 2008
Facilitator, Pandemic Flu Planning Town hall meeting, Huntington, MD • 2008
Facilitator, Renew, Revitalize Reorganize Community Dialogues, Washington, DC • 2007, 2008
Facilitator, Education Town hall Meetings, Washington, DC • 2007
Facilitator, Community Congress II, Dallas, TX • 2006
Facilitator, Master Facilities Plan, Washington, DC, •2006
Facilitator, Dallas Dinner Table, Dallas, TX •2005
Facilitator, Citizens Summit III, Washington, DC •2003
Facilitator, Listening to the City Program, New York, NY • 2002

Mediator, Dispute Resolution Services of North Texas, Ft Worth Texas • 2001- 2005
Mediator, Dallas District Court, Dallas Texas • 2001- 2005

ADDITIONAL TRAINING

Association for Conflict Resolution Diversity Mentoring Program
Mediating Environmental and Public Policy Disputes, Pepperdine University
Mediating Intellectual Property Disputes, World Intellectual Property Organization
Mediating Construction Disputes, Pepperdine University
Arbitrating Intellectual Property Disputes, World Intellectual Property Organization
Arbitrating Domain Name Disputes, World Intellectual Property Organization
Ombudsman 101 Training, The Ombudsman Association
International Commercial Arbitration, Chartered Institute of Arbitrators
Mediating ADA Title II and III Disputes, Key Bridge Foundation
Advanced Arbitration, Southern Methodist University, Dallas, Texas
Technology of Practice, Facilitation Methods
Coursework in Financial, Managerial and Intermediate Accounting, University of Rhode Island, University of Virginia
Coursework in Microeconomics, Macroeconomics, Tarrant County Community College
Shipley Associates, Fairfax VA, Writing Federal Proposals/Managing Federal Proposals

CERTIFICATIONS and MEMBERSHIPS

2004 - Present Associate Member, Chartered Institute of Arbitrators
2016 - Present U.S. Geospatial Intelligence Foundation
2016 - Present Women Impacting Public Policy
2017 - Present Mid Atlantic Facilitators Network
2018 - Present International Association of Facilitators
2019 – Present American Bar Association, Section for Dispute Resolution
2020 – Board Member, Chartered Institute of Arbitrators, North America Branch

PUBLICATIONS

“Saying Yes to Opportunity” Trajectory Magazine, Fall 2016
“An Independent’s Take on the Democratic National Convention”, Women Impacting Public Policy blog, Summer 2016
“Diversity Mentoring, *ACResolution Magazine*, Spring 2013
“The Many Faces of Commercial ADR”, *ACResolution Magazine*, Winter 2005
“Securities Arbitration 101”, *ACResolution Magazine*, Spring 2005

SPEAKING ENGAGEMENTS - SELECTED

“Arbitration Update: Revised Uniform Arbitration Act, Disclosure and Diversity Jurisdiction”, workshop panelist at American Bar Association Dispute Resolution Section conference, Atlanta, GA, 2006
“Human Trafficking and Globalization and a New Millennium”, panelist speaker, Feminist Majority Foundation South Central Collegiate Global Women’s and Human Rights Conference, University of North Texas, Denton, TX, 2005
“Local Realities, Global Possibilities – the United Nations Association, Dallas Chapter”, guest speaker at Irving Sunrise Rotary Club meeting, Irving, TX, 2005
“Forgiving in Mediation”- speaker at Association of Attorney Mediators meeting, Dallas, TX, 2004
International Women’s Day history, speaker at Gather the Women program, Dallas, TX, 2004
“Forgiving in Mediation- What Role?”, workshop panelist at American Bar Association Dispute Resolution Section conference, New York, NY, 2004
“Advanced Communication Skills: Rapport Building”, workshop presenter at American Bar Association Dispute Resolution Section conference, Seattle, WA, 2002
“Attribution Theory: Cross-Cultural Pitfalls and Practices” workshop panelist at American Bar Association Dispute Resolution Section conference, Washington, DC, 2001

COMMUNITY LEADERSHIP - SELECTED

Commissioner, Montgomery County Maryland Remembrance and Reconciliation Commission, 2019 - Present

Board Member, Leadership Montgomery 2019- Present

Graduate, FBI Citizens Academy 2019

Planning Board Commissioner, Montgomery County, MD 2017- Present

Board, Committee for Montgomery, 2015- 2017

Newsletter Volunteer, Montgomery County Interfaith Advisory Board, 2015-2017

Board member, Leadership Montgomery, 2015- 2017

Graduate, Montgomery County Community Emergency Response Training, 2015

Board member, BlackRock Center for the Arts, 2014- 2016

Montgomery County Council Grants Advisory Committee, 2012, 2013, 2014

Graduate, Montgomery County Citizens Academy, 2012

Member, Leadership Montgomery, 2012- Present

Graduate, Leadership Montgomery, 2011

Montgomery Women, Communications Co-Chair 2013- 2015

Montgomery Women, at Large Board Member 2011- 2012

Montgomery Women, member, 2008- 2011

Election Judge, Montgomery County, 2008-2012

Commissioner, Commission on Human Rights, Montgomery County Maryland, 2008 - 2014

Board member, Zonta Club of Washington, DC, 2012- 2014

Board member, UNIFEM USA National Committee, 2008 -2010

Board member, United Nations Association, National Capitol Area Chapter, 2008- 2010

Member, 30th Anniversary Steering Committee, UNIFEM USA, Washington DC, 2007



Jade Solutions, LLC Community Engagement Profile

Tina Patterson is the Principal at Jade Solutions, LLC, a woman owned; MBE/DBE/SBE, WOSB, WBE, and SWaM certified small business providing consulting services including product management, proposal development, Alternative Dispute Resolution and facilitation services to a wide range of clients. She has supported local and national public engagement efforts via organizations such as America Speaks, Public Engagement Associates, RESOLVE, Potapachuk Associates, and the Kellogg Foundation.

Ms. Patterson has been featured in the Association for Conflict Resolution’s *ACResolution* magazine for her Alternative Dispute Resolution work as well as the George Washington University’s Center for Excellence in Public Leadership newsletter for her community service work.

Ms. Patterson is a graduate of Brown University and Southern Methodist University. Ms. Patterson has also completed training with Pepperdine University, the Key Bridge Foundation, the Ombudsman Association, and the World Intellectual Property Organization and participated in the Association for Conflict Resolution (ACR) Environmental Public Policy (EPP) Diversity Mentoring Pilot Project.

Ms. Patterson has the following certifications: Information Technology Infrastructure Library (ITIL) Foundation, Association of Proposal Management Professional Certified Proposal Manager (CF APMP), Certified Configuration Manager (CICM), and Certified Product Manager (CPM).

Project examples:

Prince George’s Community College Center for Health Studies (05/17-Present)

Serve as Project Coordinator of the Prince George’s Community College’s (PGCC) Capital One Foundation College Workforce Development Cohort grant. Lead monthly status meeting; track grant deliverables. Facilitated meeting with regional health care providers to establish advisory group; facilitated session with regional workforce development partners.

Anne Arundel Workforce Development Corporation (2/18–7/18)

Provided an innovative, highly interactive, targeted approach to development and facilitation of a brainstorming session and staff convening to help Anne Workforce Development Corporation and Key Partners define strategies and the next steps in operationalizing the Local Plan and develop a report/white paper capturing the results of the sessions and suggestions for next steps.

Upper Shore Workforce Investment Board (10/16 – 06/17)

Facilitated discussions with the Maryland Upper Shore Workforce Investment Board, Chesapeake College, and community stakeholders in a five-county region to discuss and brainstorm Workforce Investment Opportunity Act (WIOA) implementation approach, and service delivery.

Corporation for National and Community Service (CNCS) Senior Corps Focus Group, Guardians of Honor (01/17- 01/17)

Ran six focus groups with Foster Grandparents Program Managers from around the country to gather feedback solicit recommendations regarding performance measurement, recruitment, innovation, incentives, and expanding partnership regarding ; education, healthy futures, environmental stewardship, economic opportunity, disaster services, and veterans and military families.

Areas of Specialization:

Facilitation & Meeting Planning (2002- present)
Business Process Improvement (2011 – 2016)
Arbitration (2000 –present)
Mediation (2000 –present)

Education:

B.A., Hispanic Language & Linguistics, Brown University

Graduate Certificate, Advanced Studies in Alternative Dispute Resolution, Southern Methodist University

Additional Training:

Mediating Environmental and Public Policy Disputes, Pepperdine University

Mediating Intellectual Property Disputes, World Intellectual Property Organization

Mediating Construction Disputes, Pepperdine University

Arbitrating Intellectual Property Disputes, World Intellectual Property Organization

Arbitrating Domain Name Disputes, World Intellectual Property Organization

Ombudsman 101 Training, The Ombudsman Association

International Commercial Arbitration, Chartered Institute of Arbitrators

Mediating ADA Title II and III Disputes, Key Bridge Foundation

Advanced Arbitration, Southern Methodist University, Dallas, Texas

Publications:

Diversity Mentoring, *ACResolution Magazine*

The Many Faces of Commercial ADR, *ACResolution Magazine*

Securities Arbitration 101, *ACResolution Magazine*

Affiliations:

Member, Chartered Institute of Arbitrators

Member, Association of Proposal Management Professionals

Leadership Advisory Council, Women Impacting Public Policy

Member, Mid-Atlantic Facilitator Network

Member, International Association of Facilitators



Jade Solutions, LLC Community Engagement Profile

Crisis of Standards Care Community Engagement sessions (06/16- 06/16)

Met with stakeholders throughout the State of Illinois to discuss and obtain input on developing crisis standards of care for the State of Illinois.

Gullah Geechee Cultural Heritage Corridor Commission Quarterly Meeting, National Park Service (05/16 – 05/16)

Co facilitated quarterly meeting Commissioner meeting. Assisted in meeting design, note taking, report development and post meeting debrief.

North of Massachusetts Avenue (NoMa) Parks Community Conversation, NoMa Parks Foundation (06/15 – 06/15)

One of approximately 20 facilitators selected to engage residents about the NoMa Parks Foundation and planning process, share details about other parks projects and solicit residents' ideas and views on the projects.

Purple Line Community Compact Workshop, National Center for Smart Growth University of Maryland (11/2014 – 11/2014)

One of 10 facilitators to engage stakeholders (businesses owners, community leaders, residents) from around the State of Maryland about four Purple Line goal areas and their impact on the Purple Line.

Prince George's Transit Plaza Transit District Development Plan Update, Maryland National Capital Area Park and Planning Commission (09/2014 – 09/2014)

Engaged residents about proposed, phased concept for the Prince George's Plaza Transit Development Plan, shared key findings regarding land use, the transportation network, market context, and environmental conditions; and solicit community input and feedback on opportunities and challenges facing the transit district area.

Chantilly Citizen Transportation Forum, Transportation Planning Board/Council of Governments (11/2011 – 11/2011)

One of 12 facilitators selected to engage residents about congestion pricing options in relation to funding and local traffic congestion challenges.

Walter Reed Army Medical Center Re-use Plan, America Speaks (06/2010 – 06/2010)

Engaged community participants in dialogue about vision and goals for re-use of Walter Reed Army Medical Center – existing conditions, mix of use options .

Leader to Leader Conference, Center for Disease Control (06/2008 – 07/2008)

One of 25 facilitators selected to engage senior executives in business, government, education, non-profit and faith based sectors in identifying policies and actions that will improve the health of Americans.

Clinton Global Initiative University, Clinton Global Initiative (04/08– 04/08)

One of 50 facilitators selected to engage college students in dialogue about public service in the areas of poverty alleviation, environment, human rights and peace, and global health.

Education Town hall meetings, DC Public Schools (09/2007–12/2007)

One of 30 facilitators selected to guide residents of Washington, DC through discussions about the impact of the education reforms process for Washington DC public schools and solicit residents' feedback about the proposed ideas to improve public education.

Listening to the City, Lower Manhattan Development Corporation (07/2002 – 07/2002)

One of 500 facilitators selected to work with residents of New York, New Jersey, and Connecticut to guide residents through discussions and suggestions about ground zero site plans.

References available upon request

Contact

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Securities Arbitration 101
By Tina Patterson

In dealing with high financial stakes and speculation, the securities sector is prone to disagreements, and as such, has developed various mechanisms to resolve disputes. Arbitration works well because the process is relatively expedient and convenient. Arbitrations are held in a location closest to the customer's residence and decisions must be rendered within 30 days.

Disputes between customers and their brokerage companies are generally submitted to arbitration by the forum to which the brokerage company is a member. Customer disputes may arise for a number of reasons, including unauthorized trading, misrepresentation or perceived failure to supervise a securities representative. A securities firm and its registered representative agree to arbitrate disputes due to the contractual obligation with the exchange or forum that it has membership. The most recognizable forums are Chicago Board of Options Exchange (CBOE), National Association of Securities Dealers (NASD), and New York Stock Exchange (NYSE). These forums follow the Uniform Code of Arbitration developed by the Securities Industry Conference on Arbitration (SICA) and the rules established by a Self Regulatory Organization (SRO) such as the NASD, NYSE or the National Futures Association (NFA). All forums are similar, with minor differences such as when claims can be served and answers filed. This article will focus on the NASD and the NYSE.

How Are Arbitrators Selected to Serve on Panels?

The Neutral List Selection System (NLSS) is the selection method currently used by the NASD. NLSS is a computer-generated system that selects arbitrator candidates on a rotational basis. The first list contains the names of 15 arbitrators—ten public and five industry (also known as “non-public”). The term “public arbitrator” means a person who is not engaged in the conduct or activities of the securities industry. In other words, public arbitrators are arbitrators who are not affiliated or employed by institutions that deal in securities. The term “non-public arbitrator” refers to a person who is or was associated with the securities industry in any capacity—attorney, accountant, broker, dealer, or employee of a bank or other financial institution dealing in securities. Non-public arbitrators are also called ‘industry arbitrators.’

Attorneys often check the award history of the arbitrators to get an idea of their experience and to detect any leanings or potential conflicts of interest. Removing an arbitrator from the list is referred to as a “strike.” One strike from either party removes that arbitrator from the list. Those arbitrators left on the list after both sides have made their peremptory challenges will be appointed to the panel. If more than three arbitrators remain, the panelists will be selected by party rankings. If, on the other hand, panel vacancies exist after the challenges, up to three new arbitrators will be appointed by the computer system.

The New York Stock Exchange offers a similar method of arbitrator selection based on party rankings of a randomly generated list, but will appoint a panel if the parties do not agree on using the random list method. The NYSE permits a specified number of peremptory challenges and an unlimited number of challenges for cause (e.g., fiduciary interest).

The Arbitration Process

Arbitration occurs in much the same way, whether it is with the NYSE or the NASD. The process is very much like a courtroom proceeding. Depending on the dollar amount in dispute and/or the associated matter in dispute (e.g. unauthorized trading), either a single arbitrator or a panel of three arbitrators will hear the case. The arbitration proceeding begins when one person files a statement of claim with the applicable forum(s). The person filing the claim is the Claimant. The person or organization the claim is filed against is the Respondent.

Claimants, respondents, witnesses and each party's counsel may be called upon by the arbitrator to testify and are subject to cross-examination. Documents are offered into evidence. Prior to the hearing, arbitrators may be asked to rule on discovery-related matters or to issue a subpoena. Parties have the right to make opening statements and summarize what they intend to prove. Closing arguments are made, and typically, within 30 days, the panel renders a decision (called an award).

All parties have a right to a fair and impartial hearing, but parties are not required to have attorney representation. Arbitration rules require the arbitrator to make sure that any *pro-se* parties, i.e., parties who represent themselves without the presence of an attorney, understand the hearing process and have access to necessary legal information. Arbitration Awards are final, and are generally only overturned by a court in very limited instances where disregard for the law, corruption or fraud are shown to have existed in rendering the award. Awards against brokers or brokerage firms must be paid within 30 days, or upon application. The NASD may also suspend or revoke the broker and/or a brokerage firms' licenses and registrations.

What about Mediation?

When a client enters into a relationship with a broker, the client is asked to sign a customer agreement. These agreements often state that mediation or arbitration will be used to resolve any dispute. Parties are often given an opportunity to resolve the dispute via mediation before moving to arbitration. The SROs maintain rosters of mediators and arbitrators. It is possible for an arbitrator to serve on both rosters, but a separate application process is required for each roster. Mediation is often quite successful, thereby avoiding the need for arbitration. NASD's Alternative Dispute Resolution Fact Sheet states that since the inception of its program in 1995, mediated cases have an 80 percent settlement rate.

Tips for Breaking into the Field

Before I submitted my application to NASD, I took a basic arbitration course and spent months observing arbitration cases with my instructor and anyone else who would let me observe a hearing. I purchased a law dictionary when I took my basic arbitration course. After successfully completing the NASD's Panel Member and Chairperson Training courses and passing the final test, I purchased a dictionary of finance and investing terms, and familiarized myself with the financial sector's 'language.' My mentors told me that it might be a long while before I was selected to serve on a panel. Fortunately, I was selected to serve on an arbitration panel three months after completing my Panel Member training course.

Several factors may impact the likelihood of being contacted to serve on a panel. If you live in a city with a vibrant securities sector, it is more likely that there will be a greater number of arbitration cases than if you live in an area with less activity. You will also be contacted more often if your type of arbitration tends to be used in your area. An option for those living in areas with fewer securities transactions or cases within one's realm should indicate a willingness to travel to other cities to conduct arbitrations. Keep in mind that a volunteer's travel expenses to hear a case may not be reimbursed by the forum.

A Word about Disclosure

The duty of the arbitrator is to conduct a fair and impartial hearing. Leave no room for the parties to have doubt about your ability to be fair and impartial. At a minimum, make sure to disclose relationships with counsel, parties and other panel members; any financial activity with the organization involved in the hearing—including its subsidiaries; and any additional training or memberships that may not be on your disclosure report but could impact the parties.

For those who wish to explore securities arbitration, a good place to start is enrolling in a course on the fundamentals of arbitration. The forums offer training in securities arbitration. NASD offers online training, and the National Futures Association and others have developed training courses available on CD. An application is much stronger when it includes positive letters from colleagues and mentors that attest to one's understanding of the arbitration process and writing skills. Asking a more experienced arbitrator to be a mentor is a great way to gain helpful suggestions, insights and tips, and possibly a letter of recommendation. It is also important to stay current on activities in the field by reading the newsletters and bulletins provided by the SROs.

Securities arbitration is one of several paths to gain experience and exposure to the arbitration process. My experience has been that because of the mutual obligation of securities firms and forums to serve the public, arbitration will continue to be part of the dispute resolution process. It is also a great way to network with other ADR professionals.

Bio: Tina Patterson is an arbitrator-mediator. She serves as a public arbitrator on behalf of several self-regulating organizations.