

TESTIMONY EXPERIENCE

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GOVERNMENT TESTIMONY:

Invited Testifying Witness, United States House of Representatives, Committee on Financial Services, Subcommittee on Capital Markets and Government Sponsored Enterprises, *The Impact of the Dodd-Frank Act on Municipal Finance*, July 20, 2012. Webcast and written testimony available at <http://financialservices.house.gov/Calendar/EventSingle.aspx?EventID=303098>.

Panelist, U.S. Securities and Exchange Commission Municipal Finance Field Hearing, July 29, 2011. Served on two panels: Distressed Communities and Derivatives Use in Municipal Finance. Transcripts are available at <http://www.sec.gov/spotlight/municipalsecurities/munifieldhearing072911-transcript.txt> and opening remarks available at <http://www.sec.gov/spotlight/municipalsecurities/statements072911.htm>.

LITIGATION SUPPORT INVOLVING TRIAL TESTIMONY:

June 6, 2011, Chicago, Illinois: Stafford Trading, Inc., and John S. Stafford, Jr., Plaintiffs, v. Frederick J. Lovely and Charles Pokoski, Defendants, United States District Court for the Northern District of Illinois Eastern Division, No. 05 C 4868. Deposition taken on March 30, 2007. (Option software case.)

February 11, 2011, San Diego, California: David B. Greenberg, et al., Petitioners v. Commissioner of Internal Revenue, Respondent, United States Tax Court, Docket No. 1143-05 et al. (No deposition taken.) (Financial options case.)

October 30, 2023, Memphis, Tennessee: Michael Iannone, et. al., Plaintiffs, v. Autozone, Inc., et al., Defendants, United States District Court for the Western District of Tennessee Western Division, No. 2:19 cv 02779. Depositions taken on September 22, 2022 and October 21, 2022. (ERISA case.)

LITIGATION SUPPORT INVOLVING DEPOSITIONS (BUT NO TRIAL):

April 23, 2010, Atlanta, Georgia: Murphy-Hoffman Company, Plaintiff v. Bank of America, N. A., United States District Court for the Western District of Missouri, No. 09-0227-CV-W-FJG. (Interest rate swaps case.)

March 23, 2004, Birmingham, Alabama: Brockman, Bruce v. ADTRAN
 In the United States District Court, Northern District of Alabama, Northeastern Division,
 Rae Brockman v. ADTRAN, Inc., Case No. CV-03-J-1725-NE
 Thomas Bruce v. ADTRAN, Inc., Case No. CV-03-B-1728-NE
 (Executive stock options case.)

April 15, 2010, Birmingham, Alabama: Richard M. Scrusby, et al., Defendants v. HealthSouth Corporation 2002 Derivative Litigation, Circuit Court of Jefferson County, Alabama, Case No. CV-02-5212 related arbitration against Ernst & Young, LLP, American Arbitration Association, Case No. 30 107 Y 00567 06. (Financial valuation case.)

LITIGATION SUPPORT NOT INVOLVING DEPOSITIONS:

2022-2023, Various ERISA-related cases focused on damage claims.

2013, Charlotte, North Carolina: Case requiring evaluation of econometric methods

2013, New York, New York: Case requiring an evaluation of an options-based approach to estimating the discount for lack of marketability.

2008, Birmingham, Alabama: Richard M. Scrusby, et al., Defendants v. HealthSouth Corporation 2002 Derivative Litigation, Circuit Court of Jefferson County, Alabama, Case No. CV-02-5212.

2007, Tuscaloosa, Alabama: L&A Express Markets, Inc. v. Friday Oil Company, Inc., Circuit Court of Tuscaloosa County, Alabama, Civil Action No: CV-2004-1744-JHE.

2007. McCormick Taylor, Inc. v. Sovereign Bank, Court of Common Pleas, Philadelphia County, PA, January, 2005 Term, No. 002586. (Expert report filed related to interest rate swap contracts.)

2004-2005. Four cases involving valuation of executive stock options.

2001. City of Birmingham, Alabama, et al. v. Council of the City of Birmingham, et al. Case No. 96-51817, Circuit Court of Jefferson County, Alabama. (Provided financial valuations of different contracts for the Birmingham Water Works.)

October, 1997. Doctors Hospital 1984, LTD v. Goldman Sachs & Co. Case No. 96-51817, District Court of Harris County, Texas. (Alleged violation of underwriting agreement.)